

2010-2011

**University of South Carolina Upstate
State Accountability Report**



Section I: Executive Summary

Vision, Mission and Values

Approved by the S.C. Commission on Higher Education, May 30, 2006

Approved by USC Board of Trustees, June 29, 2006

Vision: The *University of South Carolina Upstate*, having distinguished itself as “the metropolitan university of South Carolina,” anticipates earning recognition as one of the leading metropolitan universities of the nation.

Mission : The *University of South Carolina Upstate* aims to become one of the Southeast’s leading “metropolitan” universities ... a university that acknowledges as its fundamental reason for being its relationship to expanding populations along the I-85 corridor. It aims to be recognized nationally among its peer metropolitan institutions for its excellence in education and commitment to its students, for its involvement in the Upstate, and for the clarity and integrity of its metropolitan mission.

As a senior public institution of the University of South Carolina with a comprehensive residential campus in Spartanburg and commuting and degree completion operations at the University Center of Greenville, the University’s primary responsibilities are to offer baccalaureate education to the citizens of the Upstate of South Carolina and to offer selected master’s degrees in response to regional demand.

USC Upstate strives to prepare its students to participate as responsible citizens in a diverse, global and knowledge-based society, to pursue excellence in their chosen careers and to continue learning throughout life.

Curricula and services are designed for the University’s students, four to seven thousand in headcount, who are diverse in background, age, race, ethnicity, educational experience and academic goals. Students are drawn in large proportion from the Upstate where many choose to remain for their careers. A broad range of major curricula are provided in arts and sciences and in professional fields of study required by the regional economy, including business, education, and nursing. Through on-site instruction, distance learning, continuing education and inter-institutional articulation agreements, both traditional students and working professionals are served across the region.

Consistent with the international character of the Upstate, the University promotes global perspectives across its programs. Supporting the regional employment objectives of most of its students, it provides extensive experiential learning opportunities.

The University’s metropolitan mission rests upon a foundation of partnerships with the education, corporate and service organizations of the Upstate. The faculty provides leadership in promoting the Upstate’s economic, social and cultural development. This is achieved through its teaching, professional and public service, basic and applied scholarship and research, and creative endeavors.

Core Values: The University’s core values not only serve as the philosophical underpinnings of the institution’s mission, but they serve to govern attitudes, behaviors, and decisions in daily activities among stakeholders. As such, the University of South Carolina Upstate affirms that...

People come first. We are committed to creating an inclusive environment wherein we respect our differences as we pursue our common academic purposes. Our employees, students, parents and partners are the University’s most valuable assets. We aim to work hard, work smart and always do the right thing. We cooperate and collaborate with colleagues and constituents, aiming to be responsive, flexible, accessible and friendly in our service. We strive to be goodwill ambassadors for the University, and to advance its reputation and its metropolitan mission.

Stewardship of resources is critical to accomplishing the University's mission. We understand the importance of evaluating and reflecting on our daily activities in order to gain the highest value in return for the University's and our own professional investments. As employees, we aim to apply principles of honesty and fiscal responsibility in order to conserve student, partner, and University resources as though they were our own.

Integrity as an academic institution drives our daily activities. That integrity includes a passion for teaching and learning, and a belief that every employee and student has a right to learn and progress as far as he or she is able. We seek, therefore, to provide a distinctive learning environment that supports and encourages employee growth and personal and professional development.

Major Achievements from Past Year (10-11)

1. Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives.

Record number of University 101 sections with over 85% of all freshman students participating in the classes; used MAP works to earlier identify students at risk for lack of success in the first year of college- strategies were implemented to intervene with these students and retention has been positively affected by these strategies; implemented Upstate Direct Connect with Spartanburg Methodist College, Spartanburg Community College, Greenville Technical College and Tri-County Technical College; opened a 24/7 library computer lab for students; graduated over 1000 students this year; added features to the Early Intervention program that allow online and hardcopy administration, and faculty participation increased to 80%; added three classrooms for U 101 classes in the bottom of the new resident hall; rooms will also be used for supplemental instruction in the afternoons and evenings- targeting increased engagement of freshmen; started a proctoring center; the USC Upstate Foundation awarded 105 student scholarships; added new digital lab for Graphics Arts program; upgraded all sound equipment in the Theatre.

2. Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.

JCBE created a business incubation program; Metropolitan Studies Institute continues to be active in the Upstate and completed and published another set of Community Indicators related to the status of public health in Spartanburg County; The Metropolitan Studies Institute continues to be contacted by numerous non-profit agencies for assistance in data collection and interpretation; the Community Indicators have been merged into the strategic planning for academic affairs; Archives of the Upstate was established in the library with a major donation of medical minutes to the archives from the Spartanburg County Medical Society; successfully completed first full operational year at the George; completed \$4M Hodge Athletic Facility renovation, made possible by an alumni gift; completed the Roel Pavilion in the Susan Jacobs Arboretum; completed successful NCAA self-study process for reclassifying to full membership; hosted the 2010 Atlantic Sun Cross Country Championship; selected to host the 2011 and 2012 Atlantic Sun Women's Softball Championships; concluded third annual Walk-Upstate with over 100 employees participating in the 100 miles in 100 day walk; implementation of late night monthly programs through Student Life.

3. Support implementation of outstanding academic programs.

Successfully completed NCATE onsite review and reaccreditation; AACSB visit accomplished with several recommendations; ABET visit to Computer Science with several recommendations. School of Nursing completed their self-study in preparation for the CCNE visit in November; completed SACS self-study and drafting of the SACS Compliance Certification document in preparation for our reaffirmation in 2012; developed in-house database system for managing faculty credentials; selected SACS QEP topic (*Preparing Students for a Future with Technology*) and began implementation of QEP marketing plan; created Center for Teaching Excellence; hired a new Chancellor, hired two new deans (College of Arts and Sciences and Nursing); appointed a vice chancellor for academic affairs with responsibilities for graduate programs; appointed a Director of Research for the University to include student and

faculty research; Program Summary Proposals forwarded to CHE included a MSN in Nursing, a MS in Healthcare Informatics, a BA in Theater; program modification for physical education and corporate fitness to exercise science; new program in commercial music was created, supported and implemented; the Department of Fine Arts and Communication studies has created a dynamic partnership with the Rose Theater in London, with student exchanges occurring in the performing arts; partnerships with universities in China will result in a record number of visiting Chinese students enrolling in the university in the fall 2011; approximately 3 million dollars was awarded in grants to faculty at Upstate.

4. Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.

A Center for Child Advocacy has been established with a concurrent minor in child advocacy studies; 7th Annual Research Symposium was held in April at Milliken with record attendance and participation from other institutions of higher education; Director of IT Client Services received SCITDA Innovation Award for the "Spartan Green Sky Virtual Desktop Interface project; Director of Instructional Technology received EDUCAUSE Ryland Fellowship grant; awarded Tree Campus honor; earned LEED Silver certification for Health Education Center; Image Management guidelines now on-line; The Joint Center for Nursing Research was created with a focus on simulation to advance the education of faculty (how to teach); advance the education of students (practice in safe settings) and to augment the orientation of new graduates; the JCBE began a continuing education venture with the Sphinx company and has graduated its second certification program graduates; JCBE also began a program to engage students in stock trading ventures called the Bridges Investment Society and private capital was infused to assist the students in these endeavors; Scholars Academy is entering its 5th year and recently graduated 19 "scholars" who earned between 20-40 college credits; international study abroad has enrolled the highest number of students for this summer and include travel to such countries as South Africa, Ecuador, Germany, Italy, England, Cost Rica.

5. Create enrollment capacity to meet the needs of the growing Upstate population.

Largest applicant pool and largest enrollment at Upstate in the history of the university; installed CISCO Telepresence system at the George to facilitate distance education in collaboration with USC Moore School of Business; implemented EMAS for Enrollment Services and student financial accounting uses; implemented Resource 25 for improved classroom allocation; disbursed over \$57 million in financial aid to students; implemented Direct Student Lending; signed Direct Connect Agreements with four local technical/community colleges; Disability Services - Host Institution for two major community program initiatives -College Transition Program for High School Seniors Mayor's Forum for People with Disabilities – Mental Health Summit

6. Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.

Renovated a new warehouse for postal, shipping, and receiving; converted former Support Facility into new Public Safety offices; replace leased copy machines with multifunction devices and implemented print management software to reduce cost and provide better support, management, and reporting; increased online and face-to-face human resources trainings to ensure compliance with Federal, State, and University policy and procedures; bookstore began offering textbook rentals; partnered with the city of Spartanburg to offer shuttle service to the George; renovated a house on the perimeter of campus for Health Services; created additional parking lots to accommodate students attending classes in the Health Education Complex; implementation of integrated database "Titanium" for Counseling Services ; ID System database initiated at the Wellness Center; expanded "Assistive Technology" resources for Disability Services; online Faculty/Staff Behavioral Reporting Form; expanded Electronic Medical Record (online prescriptions) System through Point & Click.

Key Strategic Goals for Present and Future Years

The institution has six goals that we are focusing on:

1. Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives
2. Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.
3. Support implementation of outstanding academic programs.
4. Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.
5. Create enrollment capacity to meet the needs of the growing Upstate population.
6. Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.

Strategic Challenges

Key Strategic Challenges	
Educational	<ul style="list-style-type: none"> - For residents over the age of 25, Spartanburg has a very low percentage of college graduates -19.8% baccalaureate degrees compared to 23.5% statewide and 29.9% nationwide - High utilization of academic space- makes course scheduling and sequencing difficult - Develop plan for funding faculty research/scholarship activity while maintaining desired student credit hours
Operational	<ul style="list-style-type: none"> - Lack of user-friendly, integrated data systems - Fully implement the consolidated one-stop-shop enrollment management program in the HEC - Implement the Wellness program to achieve campus goals for the program - Increase student retention with the consolidation of all Student Success functions in the Library Building and with major changes in organizational structure - Integrate the strategic plan for USC Upstate with the overall USC plan
Human Resources	<ul style="list-style-type: none"> - Lack of funding from the state results in less competitive salaries - Maintain staffing levels in various departments commensurate with the growth of campus programs - Current reliance on adjunct faculty due to a lack of slots needs to be addressed
Financial	<ul style="list-style-type: none"> - Funding for master plan development including the Library Building and the renovation of several major buildings - Funding for scholarships to address accessibility problems related to cost of attendance - Increase state and other financial support to achieve a better distribution of funding among the primary sources and reduce the pressure for increasing tuition and fees - Align private giving with institutional needs and achieve funding benchmarks
Community Related	<ul style="list-style-type: none"> - Increase community collaborations and partnerships with service learning, research support, and contract work - Increase community awareness (in both Spartanburg and Greenville) through activities, conferences, and initiatives that build partnerships and reach out to the community - Work with the Spartanburg Chamber of Commerce, County Foundation, and others to impress upon residents the necessity of education beyond high school

How the Accountability Report is used to Improve Organizational Performance

The accountability report is used as a resource to aid in effectively managing the University. It allows senior management to step back from their individual disciplines and responsibilities and view the institution as a whole. It also provides a framework for the analysis of our current goals, objectives, and tactics that we have prioritized for the upcoming year and to make modifications as needed.

Section II: Organizational Profile

In 1967, the university was founded in response to efforts undertaken by G.B. Hodge, M.D., together with fellow members of the Spartanburg County Commission for Higher Education, and a remarkably strong founding faculty, primarily to avert a serious health care labor shortage crisis when Spartanburg General Hospital announced plans to eliminate its diploma program for registered nurses. A citizen's committee investigated the situation and ultimately requested that Spartanburg be included in the University of South Carolina system. The Spartanburg Regional Campus, as it was first known, opened its doors in the fall of 1967 to 177 students on the first floor of the Spartanburg General Hospital nursing residence.

Enrollment continued to increase, which resulted in the school becoming a four-year university in 1975 and being renamed the University of South Carolina Spartanburg (USCS). During the next 20 years, the campus began to take physical shape with the construction of additional academic buildings, enrollment continued to grow and degree offerings were expanded.

In 1994, Dr. John C. Stockwell was named Chancellor of the University. He adopted a metropolitan mission for the institution and implemented a 10-year strategic master plan for the campus. The University's numerous partnerships with public and private corporations and other educational institutions, coupled with the mission to offer baccalaureate education to the citizens of the Upstate of South Carolina, led to a name change. On June 30, 2004, with USC Board of Trustees approval, USCS changed its name to the University of South Carolina Upstate. Today the University boasts a highly diverse student enrollment of almost 5,500.

Main Educational Programs and Services and the Primary Method of Delivery

USC Upstate has a wide variety of educational programs, primarily undergraduate. All undergraduate educational programs have classroom instruction as the primary method of delivery; however, several programs offer distance education via the internet and two-way interactive video conferencing.

Academic Programs	
Undergraduate Majors:	Biology, Business, Chemistry, Communication, Computer Information Systems, Computer Science, Criminal Justice, Early Childhood Education, Elementary Education, Special Education/Learning Disabilities, Physical Education, Secondary Education, English, Art Studio, History, Interdisciplinary Studies, Mathematics, Middle Grades Education, Non-Profit Administration, Nursing, Political Science, Experimental Psychology, Sociology, Spanish, Information Management and Systems, Engineering Technology Management, Art Education
Graduate:	Early Childhood Education, Elementary Education, Special Education: Visual Impairment

Expectations and Key Requirements

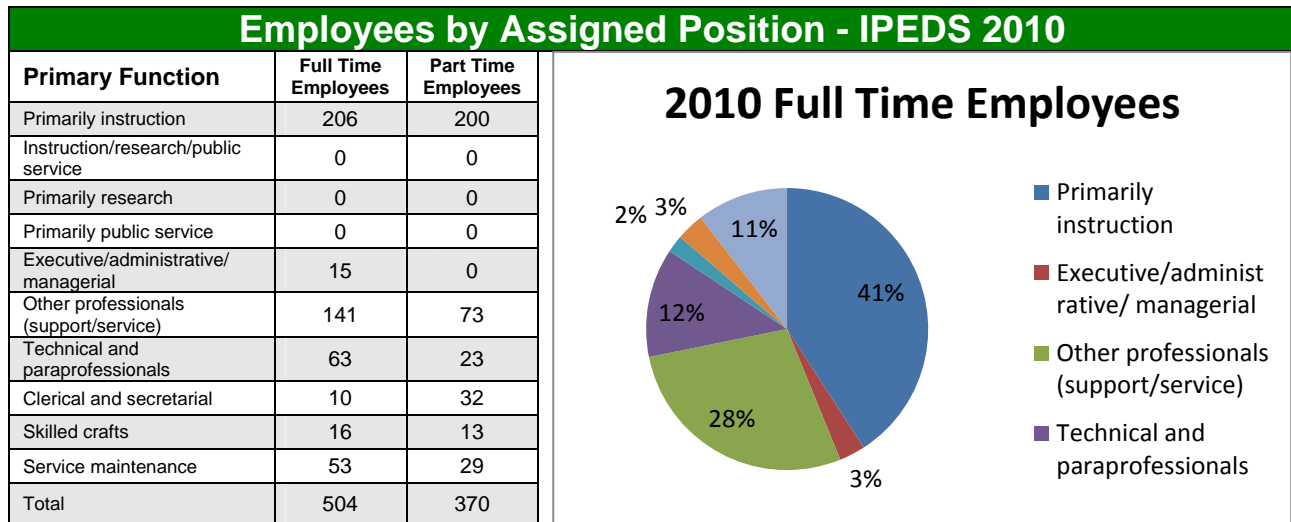
Requirements & Expectations					
Students	FTF	TS	NTS	DES	GS
Competitive Affordable Tuition	X	X	X	X	X
High Quality Faculty	X	X	X	X	X
Quality Academic Programs	X	X	X	X	X
Comprehensive Academic Support Services	X	X			
Course Availability (scheduling)	X	X	X	X	X
Financial Aid/Scholarship Assistance	X	X	X	X	
Updated Facilities and Technology	X	X	X		
Co-curricular Activities and Involvement	X	X			
Placements for Graduates	X	X	X	X	
Alumni	<ul style="list-style-type: none"> ▪ Enhanced institutional stature to add value to their degree ▪ Networking opportunities 				

Employers	<ul style="list-style-type: none"> ▪ Access to well-prepared employees
Faculty/Staff	<ul style="list-style-type: none"> ▪ Competitive compensation ▪ Opportunities for professional growth and development
Parents	<ul style="list-style-type: none"> ▪ Safe environment ▪ Quality academic programs ▪ Comprehensive Academic Support Services ▪ Affordable quality education
State	<ul style="list-style-type: none"> ▪ Quality education for S.C. Students ▪ Compliance with standards
Accrediting Agencies	<ul style="list-style-type: none"> ▪ Compliance with standards
<p>FTF- First Time Freshmen, TS – Transfer Students, NTS- Non-Traditional Students, DES – Distance Ed. Students, GS- Graduate Students</p>	

Operating Locations

USC Upstate’s main campus and administrative operations are in Spartanburg. Upper division courses in a variety of majors are offered in Greenville through the University Center; upper division education courses are offered in Sumter via two-way conferencing; and upper division nursing courses (RN-BSN) are offered entirely on-line or a hybrid in class and online and the George Dean Johnson College of Business and Economics is located in downtown Spartanburg.

Number of Employees by Category



Regulatory Environment

The administrative policies and procedures of USC Upstate are governed by the administrative policies and procedures of the University of South Carolina. The academic policies and procedures within the USC Upstate Faculty Manual have been developed and approved by the faculty of USC Upstate and also approved by the USC Board of Trustees. USC Upstate is also governed by the South Carolina Commission on Higher Education whose purpose is to serve as the state’s coordinating board for public higher education by acting as an advocate for higher education and as an oversight entity for the State. Educational accreditations include:

Institution	Date of Last Visit	Agency
USC Upstate	2001	Commission on Colleges of the Southern Association of Colleges and Schools
Programs	Date of Last Visit	Agency
Education	Spring 2011	NCATE
Business*	Spring 2010	AACSB
Nursing	Fall 2006	CCNE
Computer Science	2009/2011 (Interim)	ABET
Engineering Management Technology	2009/2011 (Interim)	ABET
IMS and Healthcare Informatics	2010	CAHIM
Art and Graphic Design	2007	NASAD

USC Upstate is committed to complying with all state and federal regulations to include, but not limited to: FERPA, FMLA, OSHA, DHEC, EPA, Clery Act, ADA, Civil Rights Acts, and other employment acts.

Governance System

USC Upstate is led by Chancellor John C. Stockwell. Chancellor Stockwell is charged by the USC Board of Trustees with achieving the mission and vision approved by the Board. The Chancellor is also charged with running the day-to-day operations of the University in compliance with all state, federal, and accrediting agency guidelines. The Chancellor's Cabinet consists of six of the Chancellor's direct reports who are responsible and directly accountable for various administrative and academic enterprises on campus. The Senior Vice Chancellor for Academic Affairs has appointed a dean to lead the college, each professional school and the library.

USC Upstate is also advised by the Spartanburg County Commission for Higher Education. The Commission holds in trust the land on which the University sits on behalf of Spartanburg County. The Commission has legal responsibility for use of the property, land acquisition and condemnation. The Commission is also responsible for recommending the choice of the Chancellor. The Commission is composed of fifteen members appointed by the Governor on the recommendation of the resident members of the Spartanburg County Legislative Delegation for terms of four years each.

Key Suppliers and Partners

USC Upstate has a broad list of key suppliers and partners. Many of them play significant roles in assisting USC Upstate in the achievement of the mission, vision, values, and strategic plan.

Key Suppliers/Partners	Role
High Schools	Supplies quality students as entering freshmen
Two-Year Institutions	Supplies USC Upstate with qualified transfer students
USC Columbia	Provides central coordination of many administrative functions and serves as a source of strategic support
Alumni	Source of student referrals. Financial and institutional support and advice

Employers	Source of jobs for graduates and assist in identifying changing needs in community
Community Partners	Source of advisory, financial and institutional support

Key Competitors

Since approximately 95% of USC Upstate students are from within South Carolina, our competitors are primarily other S.C. institutions. USC Columbia, Clemson, Winthrop, Spartanburg Community College and Greenville Technical College are the top competitors for incoming freshmen. Articulation agreements are in place for the two year institutions to make it easier for students to transfer to USC Upstate and new agreements called *Direct Connect* were put into place in 2010-11 with several two-year schools. Wofford and Converse Colleges are the primary competitors for local private funding and all other public agencies within the state are competitors for state funding.

Principal Factors in Determining Competitive Success (KEY CHANGES TAKING PLACE THAT SIGNIFICANTLY IMPACT COMPETITIVE SITUATION)

There are three primary areas for consideration in determining USC Upstate’s principal factors for competitive success; they include competition for funding, faculty and students.

Funding: Competition for state funding, both capital and operating funds, comes from all state agencies, including the other S.C. higher education institutions. Currently there is no defined level of support from the state for higher education nor is there a defined methodology for determining how monies allocated to higher education will be allocated between institutions for capital projects or operating allocations. State funding has diminished considerably over the past five years, to the point that less than 18% of our budget is from the state. As a result, funding requests are developed annually and each institution spends time networking with the legislature to lobby for their respective interest. Figure 7.3.2 demonstrates that USC Upstate students are funded on average approximately \$1243 per student lower than South Carolina students at the other teaching institutions and as enrollment continues to grow; since funding is static it will be more adversely impacted. Lower levels of funding also affect our ability to attract and retain faculty.

Faculty: Competition for faculty is a key consideration in the continued growth and evolution of USC Upstate. To continue making progress in recruiting quality faculty, it is imperative for USC Upstate to remain competitive in the areas that faculty rank high as determinants in position considerations: competitive salaries, quality and quantity of space/facilities and lab space allocations for particular disciplines, technology infrastructure, participation in decision-making, campus culture and image, and opportunities for research and professional growth.

Students: Competition for students comes from other universities, public and private, and two-year institutions within South Carolina. Business and industry also compete for students, as many students graduating from high school choose to work rather than continue their education. Approximately 95% of USC Upstate students are residents of South Carolina.

Performance Improvement Systems

The diagram below demonstrates the continuous improvement process used across the institution to evaluate, redesign and implement process improvements. During the redesign process, all stakeholders are consulted to determine process requirements. Also, key process measures are decided upon to allow for process evaluation upon implementation. Each year, several processes are designated for review during the annual planning cycle.

It should also be noted that many of the administrative processes that are critical to the overall operation of the University are only partially executed by USC Upstate employees. In situations where process workflow is divided between the campuses, process redesign is more cumbersome and requires involvement of multiple stakeholders (all USC campuses) to define process requirements. Additionally, archaic student information, finance and human resource systems that are housed centrally at USC limit the types and amounts of system enhancements that can be made to streamline administrative processes.



Expenditures Chart

Upstate Accountability Report Appropriations/Expenditures Chart						
Base Budget Expenditures and Appropriations						
	FY 09-10 Actual Expenditures		FY 10-11 Actual Expenditures		FY 11-12 Appropriations Act	
Major Budget Categories	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$31,397,061	\$8,500,000	\$32,054,911	\$6,715,000	\$31,531,161	\$6,350,000
Other Operating	\$40,957,839	\$ -	\$42,208,885	\$ -	\$41,128,684	\$ -
Special Items	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Permanent Improvements	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Fringe Benefits	\$8,472,597	\$1,638,616	\$8,816,360	\$1,378,427	\$8,853,263	\$1,338,756
Non-recurring	\$1,090,281	\$ -	\$2,623,871	\$ -	\$ -	\$ -
Total	\$81,917,778	\$10,138,616	\$85,704,027	\$8,093,427	\$81,513,108	\$7,688,756

Other Expenditures		
Sources of Funds	FY 09-10 Actual	FY 10-11 Actual
Supplemental Bills	\$0	\$0
Capital Reserve Funds	\$0	\$0
Bonds	\$0	\$0

Note: The Non-recurring is the ARRA Federal Stimulus funds. In FY10 \$1,090,281 was spent and \$174,096 was transferred for operating expenditures and capital projects of the budget of \$1,959,567. In FY11 \$2,623,871 was spent and \$200,428 was transferred for operating expenditures and capital projects of the budget of \$2,129,109. The amount spent in FY11 includes the unspent residual funds from FY10. All ARRA funds have been fully expended as of June 30, 2011.

Major Program Areas Chart

H34-Upstate Major Program Areas								
Program Number	Major Program Area and Purpose	FY 09-10 Budget Expenditures			FY 10-11 Budget Expenditures			Key Cross References for Financial Results*
502	Instruction	State:	10,138,616		State:	8,093,427	7.2.4 7.3.1 7.3.2 7.3.3 7.3.4	
503		Federal:	196,919		Federal:	0		
504		Other:	13,531,888		Other:	16,846,268		
505		Total:	23,867,423		Total:	24,939,695		
		% of Total Budget:		29.14%				29.10%
	Auxiliary	State:	0		State:	0	7.3.5	
507		Federal:	0		Federal:	0		
508		Other:	3,760,617		Other:	3,669,773		
509		Total:	3,760,617		Total:	3,669,773		
		% of Total Budget:		4.59%				4.28%
496	Research -Activities specifically organized to produce research outcomes, commissioned either by external entities or through a separate budget process of an organizational unit within the institution.	State:	0		State:	0	7.3.5	
		Federal:	14,913		Federal:	42,715		
		Other:	256,386		Other:	123,971		
		Total:	271,299		Total:	166,686		
		% of Total Budget:		0.33%				0.19%
497	Public Service -Activities established to provide non-instructional services beneficial to individuals and groups external to the institution.	State:	0		State:	0	7.3.3 7.3.5	
		Federal:	1,320,881		Federal:	2,044,400		
		Other:	712,199		Other:	814,175		
		Total:	2,033,080		Total:	2,858,575		
		% of Total Budget:		2.48%				3.34%
498	Academic Support -Administrative functions that directly support instruction, research, career advising, and public service to include libraries, computing services, and academic administration.	State:	0		State:	0	7.3.3 7.3.5	
		Federal:	2,485		Federal:	140,179		
		Other:	5,850,752		Other:	4,954,714		
		Total:	5,853,237		Total:	5,094,893		
		% of Total Budget:		7.15%				5.94%
499	Student Services -Student focused activities to include admissions, registration, health, athletics, academic advising, student organizations, and other student services.	State:	0		State:	0	7.3.3	
		Federal:	816,624		Federal:	659,410		
		Other:	8,126,792		Other:	8,044,389		
		Total:	8,943,416		Total:	8,703,799		
		% of Total Budget:		10.92%				10.16%

500	Operations & Maintenance- Facilities support services to include campus security, capital planning, facilities administration, buildings and grounds maintenance, utilities, and major repairs and renovations.	State:	0	State:	0	7.3.3 7.3.4 7.3.6
		Federal:	778,536	Federal:	2,095,624	
		Other:	7,657,208	Other:	6,361,666	
		Total:	8,435,744	Total:	8,457,290	
		% of Total Budget:		10.30%		
501	Scholarships- Scholarships and fellowships in the form of outright grants to students selected by the institution and financed in the form of current funds, both restricted and unrestricted.	State:	0	State:	0	7.3.3
		Federal:	10,212,897	Federal:	12,145,202	
		Other:	13,152,224	Other:	13,469,160	
		Total:	23,365,121	Total:	25,614,362	
		% of Total Budget:		28.52%		
506	Institutional Support- Administrative functions to include executive management, personnel services, fiscal operations, administrative computing, and public relations.	State:	0	State:	0	7.3.1 7.3.2 7.3.3
		Federal:	0	Federal:	0	
		Other:	5,387,841	Other:	6,198,954	
		Total:	5,387,841	Total:	6,198,954	
		% of Total Budget:		6.59%		
Grand Total	State:	10,138,616	State:	8,093,427		
Grand Total	Federal:	13,343,255	Federal:	17,127,530		
Grand Total	Other:	58,435,907	Other:	60,483,070		
Grand Total	Total:	81,917,778	Total:	85,704,027		

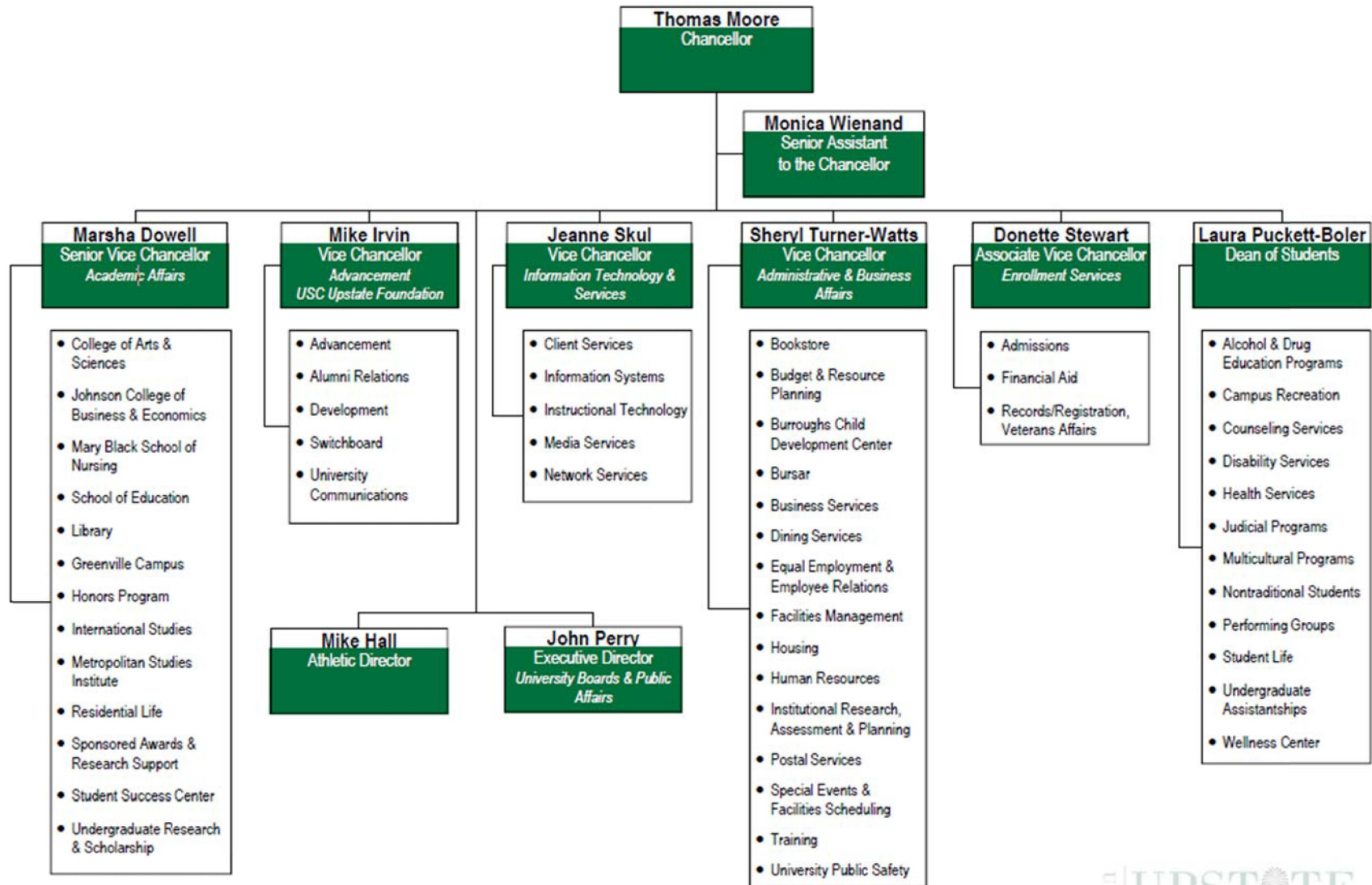
Below: List any programs not included above and show the remainder of expenditures by source of funds.

Remainder of Expenditures:	State:	State:
	Federal:	Federal:
	Other:	Other:
	Total:	Total:
	% of Total Budget:	% of Total Budget:

* Key Cross-References are a link to the Category 7 - Organizational Performance Results. These References provide a Chart number that is included in the 7th section of this document.

University of South Carolina Upstate

(Revised 8.3.11)



Category 1: Senior Leadership, Governance, and Social Responsibility

1. How do senior leaders develop and deploy their organization’s vision and values throughout the leadership system, to the workforce, to key suppliers and partners, and to students and stakeholders, as appropriate? How do their personal actions reflect a commitment to the organizational values?

USC Upstate’s mission, vision, values and strategic goals create a strong foundation for establishing an environment of continuous improvement. The leadership system and organization, including the Chancellor’s Cabinet, the Senior Vice-Chancellor’s Deans’ Council, and expanded Academic Affairs Council, were designed to support cross-functional participation, communication, decision-making, and accountability in support of the achievement of the mission and goals.

Senior leaders participate in an annual retreat to review and discuss organizational performance. This discussion and analysis revolves around a data review of key performance indicators (KPIs) with the data represented by category in an environmental scan report created by the Strategic Issues Advisory Committee. This report is based on a data review, documentation of the leading issues on campus, analysis of KPI’s, roundtable discussions with a variety of constituents; additionally, the committee offers recommendations, consideration and prioritization of tactics, in broad terms, for the upcoming year. Following the retreat, senior leaders work with the faculty and staff, within their respective areas, to create operational tactics and plans that are reviewed to ensure the compatibility of priorities with resource allocations – financial and human. Finally, the annual plans are summarized and shared through a variety of means with faculty, staff and external stakeholders.

Senior leaders work to support the core values by keeping the focus on students, working diligently to provide a good workplace for all employees and continually operating within budget. Figure 1.1.1 demonstrates the means used to convey a variety of messages to stakeholders.

Communication	Audience	Purpose
USC Upstate Website	All Stakeholders	Update current and prospective students, community partners and alumni. A means for faculty and staff to access information.
USC Upstate News – RSS Feed	Faculty/Staff	A communiquéé to the campus community about a variety of topics. Provides opportunities to educate, inform, and to share news.
Student Newsroom	Students	A daily web portal with RSS Feeds specifically designed for all students to include events, campus news, accomplishments, and opportunities for involvement.
Parent Newsroom	Parents/Families	A Web portal created to provide information about programs and services for students.
Upstate Magazine	Faculty, Staff, Alumni, Partners, Donors	A magazine published three times per year. Serves as a means to promote the university, highlight alumni and donors, motivate alumni to stay involved, features outreach and partnerships, etc.
Chancellor’s University Day Speech	Faculty/Staff	A “State of the University” address highlighting past semester/year’s accomplishments and outlining objectives for the upcoming year/semester.
Meetings with Student Government Assoc.	Students	Provides a forum between the student government association and administration to address issues and to share information.
General Faculty Meetings	Faculty	Meeting open to all faculty twice per semester. Senior leaders update on a variety of issues affecting the University.
Legislative Briefings	Legislators	An annual meeting presenting University accomplishments and legislative challenges, in hopes of garnering support and thanking legislators for support.
Faculty Senate Meetings	Faculty	Monthly meetings with faculty representatives in which senior leaders share information about the direction of the institution.
Facebook, MySpace, Twitter, Flickr, RSS Feeds, YouTube, Vimeo	All Stakeholders	Update all stakeholders on a variety of topics.

The Business Page	JCBE Alumni, Friends, Donors	To inform and engage business school audiences of the initiatives, programs and highlights of the school, its faculty and students
History, Political Science, Philosophy, and American Studies Newsletter	Current HPPA majors, HPPA alumni, prospective HPPA faculty and students	To inform and engage HPPA audiences of the initiatives, programs and highlights of the department
Interactive Campus Map	All Stakeholders	To acquaint audiences with the campus and assist them with wayfinding
Figure 1.1.1		

2. How do senior leaders create a sustainable organization with a focus on action to accomplish the organization’s strategic objectives, improve performance, and attain your vision?

USC Upstate leadership employs a strategy of adaptive alignment to ensure the mission, vision and strategic plans remain current and compelling. A regular review of organizational performance and planning tactics on an annual basis allows for modifications to programs and initiatives to ensure effectiveness and best use of resources. The leadership team regularly reviews funding streams and creates various options to allow organizational progress even in economic downturns. Regular review of division/department capabilities creates a more agile organization that can easily be aligned to support continuous improvement.

3. How do senior leaders personally promote and support an organizational environment that fosters and requires: legal and ethical behavior; and, fiscal, legal, and regulatory accountability? How are these monitored?

Senior leaders promote an environment that fosters and requires legal and ethical behavior through ensuring awareness of and compliance with university policies, e.g. BTRU 1.2 “Dishonest Acts and Fraud” and BTRU 1.18, “Conflict of Interest” and HR 1.02 USC Ethics Policy. A review of several compliance policies is done with the Chancellor’s cabinet on a regular basis. Additionally, many departments are governed by their own code of ethics and ensure compliance within the function for those expectations. Several USC offices work to monitor a variety of compliance issues across all campuses including: internal audits, procurement reviews, procurement card expenditure audits, EEO complaint processing, etc.

4. How do senior leaders create an environment for organizational and workforce learning?

Continuous learning for faculty and staff are supported in numerous ways on campus. Free tuition for one course per semester is offered to each full time employee after six months of employment and there are training initiatives focused on institutional policies and procedures for new employees to aid in their quick assimilation to the campus. Computer training is also offered as are other digital technology use workshops. OSHA training is provided annually for employees. Additional professional development is supported through workshop and seminar offerings on campus that are open to all employees and cover a variety of topics that are appropriate for supporting the priorities established on campus. Because of the degree of specificity required for most faculty and senior leadership development activities, faculty and senior administrative leaders have development funds available through department budgets and institutionally funded grants for development specific to their discipline or area of interest. These funds allow department managers, senior leaders and faculty to attend conferences where information is gathered through conference seminars, benchmarking, and networking.

5. How do the senior leaders promote and personally participate in succession planning and the development of future organizational leaders?

Each year senior leaders openly discuss and review the personnel in each division giving particular consideration to positions in which the current employees are near retirement. If retirement or other changes are imminent, a plan and timeline is put into place to ensure cohesion of responsibilities and minimal loss of organizational memory as retirements or other changes occur within the organization. Senior leaders also work with employees during the EPMS (annual review) process to assign objectives for the next year and identify the skills necessary to achieve those objectives. Employees are encouraged to attend workshops on campus, take academic courses on campus that are paid for after six months of employment, participate in campus committees and cross-train on various task to increase knowledge and experience. As employees increase their knowledge, skills and academic credentials, they are eligible to apply for other positions on campus.

6. How do senior leaders communicate with, engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?

USC Upstate senior leaders have created an environment that enhances empowerment, innovation, and motivation through the shared accountability and responsibility for organizational improvements. Communication with employees is handled both formally and informally to include Fall University Days in which the Chancellor speaks directly to faculty and staff about the accomplishments from the past semester/year and sets the tone and direction for much of what will be focused on in the next year. Senior leaders also meet weekly and participate in a shared agenda that encourages information sharing and cross-functional discussions on a variety of topics as needed. Senior leaders are also asked to share this information with their direct reports during division and department meetings. The USC Upstate News RSS feed, created and updated daily by University Communications, is a consistent means of communication with all faculty and staff and is a venue for supervisors to offer positive reinforcement by sharing various department/faculty/staff accomplishments with the campus.

Senior leaders are involved in faculty and staff rewards and recognition. A primary way high performance is recognized is through merit increases for employees when there are funds available. All employees are invited to participate in the nominations and selection of the Classified Employee of the Year. Each nominee, the individual that nominated them and the employee's supervisor are invited to a luncheon to be recognized for their contributions; the luncheon is hosted by the Chancellor and other senior leaders. The employee selected as the Classified Employee of the Year is recognized at the annual May Day Employee Picnic along with recognition of all employees receiving Years of Service Awards. Outstanding faculty are recognized during the graduation ceremony each May through the following awards 1) the Bank of America Excellence in Teaching and Advising Awards – one faculty from Arts and Sciences and one faculty from the professional schools are selected by a representative student committee - and 2) the USC Upstate Annual Award for Scholarly and/or Creative Pursuits is given to a faculty member selected by the Teaching Excellence Committee based on review of submissions of research and/or creative endeavors.

7. How does your organization evaluate the performance of your senior leaders including the head of the organization, and the governance board/policy making body? How do senior leaders use these performance reviews to improve their own leadership effectiveness and that of the board and leadership system, as appropriate?

Senior leaders receive annual feedback from faculty and staff on the services, programs, etc. within their area of responsibility. This feedback includes satisfaction with performance of duties/responsibilities of each department and the service orientation of each department. Senior leaders within the academic division, including the Chancellor, Senior Vice Chancellor and the Deans, are reviewed by the faculty within their department(s) on their leadership and supervisory responsibilities. All vice chancellors, deans and department heads receive an annual review from their direct supervisor at the conclusion of academic year. The chancellor receives regular feedback from the President of the USC System and annually formally reviews progress of the institution.

What performance measures do senior leaders regularly review to inform them on needed actions?

Performance Measures			
Students	Faculty/Staff	Financial	Stakeholders
<ul style="list-style-type: none"> - Enrollment - Retention - Graduation rates - Scholarships - Diversity - Student/faculty ratios 	<ul style="list-style-type: none"> - Faculty/student ratios - Benchmarking administrative offices - Employee surveys - Organizational assessments - Pay Equity Analysis - Credential reviews 	<ul style="list-style-type: none"> - Tuition - State funding - Capital funding - Budgets - Scholarships 	<ul style="list-style-type: none"> - Satisfaction surveys - # of high level projects partnered with the university - Donor gifts

Figure 1.8.1

8. How does your organization address and anticipate any adverse impacts of its programs, offerings, services, and operations? What are the key compliance related processes, goals, and measures?

In accordance with the nature of metropolitan universities, USC Upstate is highly attuned to societal responsibilities and impacts on the communities within which it operates. Senior leaders and responsible departmental leaders collaborate directly with community agencies, organizations and leaders to better gauge the impact of the various programs and services of USC Upstate. The Chancellor has recently appointed a task force to review environmental sustainability issues for campus and charged them with making recommendations for action. The newest building on campus, the Health Education Complex is LEAD certified. The matrix below identifies several of the process and indicators used to track compliance.

Process	Practices	Performance Indicators
Legal & Safety	<ul style="list-style-type: none"> - Workers Comp - Fire Audits - Crime - Hazardous Waste 	<ul style="list-style-type: none"> - Accident rates - Follow ups and compliance issues - # of incidents on campus - # of incidents on campus
Ethics and Equity	<ul style="list-style-type: none"> - EEO - Diversity - ADA 	<ul style="list-style-type: none"> - # of complaints - Percent of minorities and female employees - Dollars spent upgrading campus and # of complaints
Accreditation	<ul style="list-style-type: none"> - SACS - Program specific accreditation 	<ul style="list-style-type: none"> - Maintaining certification - Maintaining certification

Figure 1.9.1

9. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, faculty and staff, and the organization's students contribute to improving these communities.

USC Upstate is a member of The Coalition of Urban and Metropolitan Universities. The *Declaration of Metropolitan Universities* describes the roles of college and university leaders in partnering with and being responsive to our community in our teaching, research and professional enterprises. With a shared mission of striving for national excellence while contributing to the economic development, social health, and cultural vitality of the urban or metropolitan centers served, it is a cultural expectation that all divisions/departments on campus will strive to build partnerships within the local community based upon their function, discipline or professional expertise. Many of the projects implemented are jointly sponsored, planned and implemented with other community and partnering organizations; examples include 1) the partnership between the *Johnson College of Business* and BMW to run summer camps for high school students with strong aptitudes in math and science 2) the *School of Nursing* and Spartanburg Regional Health Care System have come together to create the *Joint Center for Nursing Research and Scholarship* (Center). The Center will use innovative technology to enhance nursing education, including the use of a critical care research unit and a home care research unit. The Center will be used by the *Mary Black School of Nursing*, Spartanburg Regional and other practice partners to teach "novice" nursing educators and nursing students through creative educational models and innovative teaching methods that embrace new technologies that improve professional nursing skills and undergrad nursing student skills, thinking, confidence, and ability to face real-life situations in the clinical and home setting. The USC Upstate theatre program has an international internship with the Rose Theatre in London. Theatre performances are conducted at area schools to increase interest in the arts. *Natural Sciences* faculty offer educational programs to the public to increase awareness of conservation and other environmental issues. *History, Political Science, Philosophy and American Studies* hosts interfaith dialogues to promote understanding of the diverse culture in Spartanburg. *Languages, Literature and Composition* conducts a community writing project for students and teachers and senior leaders work with advisory groups and community partners to establish priorities for involvement.

Category 2: Strategic Planning

1. What is your Strategic Planning process, including key participants, and how does it address: A. Your organizations' strengths, weaknesses, opportunities and threats B. Financial, regulatory, and other potential risks C. Shifts in technology, student and community demographics, markets, student and stakeholder preferences and competition, D. workforce capabilities and needs, E. Long-term organizational sustainability and organizational continuity in emergencies F. Your ability to execute the strategic plan?

The development of the strategic plan is a collaborative effort across the institution and involves the Chancellor, the Chancellor's Cabinet (senior leaders), Academic Deans, Strategic Initiatives Task Force, Department Chairs and Directors. The institutional mission and vision were revised and approved in 2006. The goals of the institution are reviewed each year and conceptually will remain constant for the next several years with gradual evolutions and updates based on the current institutional opportunities and challenges.

A) The strategic issues task force has the responsibility for collecting data and other qualitative information to be used as a situational analysis. This task force was appointed by the Senior Vice Chancellor for Academic Affairs and is made up largely of academic representatives. The task force

is charged with gathering data, facilitating round table discussions, reviewing best practices and making recommendations. The task force is not a decision making group but rather delivers an annual report to be used by others as a situational analysis when decisions are being made and priorities are being established.

B) Each tactic proposed for the upcoming year that requires additional funding undergoes a cost/benefit analysis prior to budget prioritization and the allocation of new/additional funds. Senior leaders report throughout the year on financial and regulatory information that is within their purview to ensure that all senior leaders are aware of any issues/concerns.

C) Senior leaders are kept aware of the latest shifts in technology through the Department of Information Technology Services including technology in the following areas: data warehousing, personal computing, data security and teaching in the classroom. Changes in student and community demographics are collected from numerous sources, e.g. State Department of Education, IPEDS, local Chamber of Commerce and various offices on campus. This information is analyzed at both the institution and department level and factored into long and short term action plans as appropriate.

D) Workforce capabilities and needs are discussed during an organizational review at the cabinet retreat each year and during the budgeting process. All request for additional staffing are considered during the annual budget process.

E) One of the primary means of assuring organizational sustainability is through constant strengthening of the organizational structure. The organization is reviewed annually to ensure strategic alignment of personnel in support of the institutions mission and goals. As turnover occurs, position responsibilities are reviewed and position descriptions are updated to ensure the position is not only relevant but is structured to add the most value to the organization. The budget process is another key to long term sustainability; the budget process was created to allow for timely decisions and actions based on funding availability. Funding of projects and new initiatives is often handled in stages to allow senior leaders a better grasp of intuitional finances prior to committing funds. Additionally, a campus incident plan was created and implemented this past year targeting increased awareness and knowledge among faculty and staff to reduce risk and liability.

F) The ability of the organization to execute the strategic plan is assured through many of the same means that assure organizational sustainability. The primary variables effecting the achievement of the strategic plan are ensuring the appropriate resources are available – personnel with the appropriate skills, capital funding, and operational funding.

2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary?
(section 1, question 4)

In the strategic planning cycle, a form of environmental scans is created annually by the Strategic Initiatives Task Force and strategic challenges/priorities are identified in a report for the Chancellor's Cabinet. A review of the challenges allows for modification of the goals and supporting strategic objectives as needed. The objectives are developed with a focus on ensuring a consistent approach in action plans and strategies to address both long-term and short-term challenges and opportunities.

3. How do you evaluate and improve your strategic planning process?

USC Upstate's strategic planning process is broad based and cyclical and was established to allow for process review and critique, targeting continuous improvement of the process. Prior to beginning the annual planning cycle, feedback on the process is gathered from a broad audience to allow for immediate improvements as the cycle begins. Throughout implementation and deployment, progress is regularly reviewed within the divisions/departments to ensure progress is being made as anticipated. Any lags or fluctuations in progress due to unanticipated events or influences or unforeseen opportunities are reported to senior leaders and plans are refined accordingly.

4. How do you develop and track action plans that address your key strategic objectives? Include how you allocate resources to ensure the accomplishment of your action plans.

During the annual planning retreat a great deal of discussion is targeted on the priorities for the upcoming year and senior leaders are allowed to give input into the priorities of all divisions. Once priorities are agreed upon, each senior leader works within their divisions/departments to develop annual operational plans and synchronize their priorities to support achievement of the agreed upon tactics. This cascading of operational plans through every department in support of the prioritized tactics allows the institution to mobilize the majority of faculty and staff towards the achievement of tactics prioritized for the upcoming year.

Tracking of completion and progress on annual tactics is managed in a decentralized manner through senior leaders working with their departments to capture and report progress on annual tactics. Throughout the year, as senior leaders meet with their divisions, operational plans are reviewed and progress is reported. At the end of the academic year, the Office of Administrative and Business Affairs facilitates a "wrap up" of the annual plans with the senior leaders into a consistent institutional format.

A major component of the retreat discussion is focused on resource allocation. Through priority discussions a determination is made on whether or not an agreed upon initiative requires additional resources within the division. All initiatives requiring additional resources are then prioritized and after the budgets are approved by the state, leaders are notified as to which initiatives were funded and which remain unfunded. Unfunded initiatives can remain on the tactics tracking list with a note that it was unfunded for the year but it allows for these tactics to be carried forward into the next year.

5. How do you communicate and deploy your strategic objectives, action plans and related performance measures?

Each senior leader works within their divisions/department(s) to develop annual operational plans and synchronize their priorities to support achievement of the agreed upon tactics. This cascading of operational plans through every department in support of the prioritized tactics allows the institution to mobilize the majority of faculty and staff towards the achievement of tactics prioritized for the upcoming year. A summer mini-retreat is also held for senior leaders to review all tactics from each department across campus to ensure there is alignment of resources- both human and financial. The strategic objectives and annual tactics for each department are also posted on the University website.

6. How do you measure progress on your action plans?

Tracking of completion and progress on annual tactics is managed in a decentralized manner through senior leaders working with their departments to capture and report progress on annual tactics. Written documentation of progress is captured throughout the year in a consistent tracking format used by all divisions and departments. Progress on highly prioritized institutional projects is reported on throughout the year to the Chancellor and other senior leaders, e.g. the Chancellor’s Cabinet and the Dean’s Council. During these mid-year updates, senior leaders learn of progress that has been made towards completion of the project and potential roadblocks or concerns. This briefing of senior leaders allows for a quick response from the cross-function teams to assist in alleviating any roadblocks or concerns rather than waiting until the end of the year to report that a project has stalled. At the end of the academic year, the Office of Administrative and Business Affairs facilitates a “wrap up” of the annual plans into a consistent institutional format that is published on University’s website.

7. If the organization’s strategic plan is available to the public through the organization’s internet homepage, please provide an address for that plan on the website.

http://www.uscupstate.edu/about_upstate/planning/strategic/default.aspx?id=10172

Strategic Planning			
Program Number and Title	Supported Organization Strategic Planning Goal/Objective	Related FY 11-12 Key Action Plan/Initiative(s)	Key Cross References for Performance Measures*
1	Design and implement educational experiences that enable (facilitate) students to meet intellectual, social and career/professional objectives.	<ul style="list-style-type: none"> - Continue to push for parity to allow equal funding of faculty, etc - Adding a “Transfer 101” class for all new transfer students to provide a stronger foundation for student success - Grow dual enrollment - Implement the QEP - Grow and further implement Upstate Direct Connect - Address imbalances in full-time/part-time faculty - Hire an Athletic Academic Counselor - Recruit startup businesses for the JBCE incubation partnership - Upgrading two classrooms in the library. - Changing furniture in the library and adding more compact shelving. - Creating a new wet lab in Smith Science Building for upper division courses. - Begin design and planning work for nursing lab 1014. 	Primary Function Chart 1.8.1 3.2.1 3.4.1 7.1.1 7.1.5 7.1.6 7.5.2 7.5.3
2	Develop engaged campus communities in Spartanburg and Greenville supported by user-friendliness and enriched by diversity.	<ul style="list-style-type: none"> - All academic division are working on projects that align with the Spartanburg Community Indicators - Increase number of students working on campus - Increase large scale student events with broad appeal - Continue to work on the Chinese Business articulation. Increase partners in China. Activate our collaborations with Mexican institutions, Mexico. Work on Middle-East collaborative programs with Jordan and Egypt - Continuing renovating the Villas (both internal and external modifications). New laminate flooring and new kitchen cabinets installation over the summer. - Install blinds and sound attenuation to the great room in URC to allow for better utilization of the room 	1.1.1 3.2.1 3.4.1 6.3.1 7.2.1 7.2.4
3	Support implementation of outstanding academic programs.	<ul style="list-style-type: none"> - Increase diversity of faculty - Accreditations- Nursing: CCHE; Business- AACSB (continued follow-up) - To promote recruitment and retention of faculty, identify, cultivate, and solicit donors to support professorships and endowed chairs. - Plan and implement new academic programs: BS in Health Sciences, New proposal submissions for MAT in Middle Grades, Special Education, Master is 	3.1.1 3.2.1 3.4.1 7.1.3

		<ul style="list-style-type: none"> - Nursing, Informatics and Healthcare Informatics, and Global Studies - Finalize and submit SACS compliance document and all QEP materials as appropriate - Create, develop and implement marketing plans and publications to gain support for funding and construction of the new Library. - Network Services will continue to deploy and support Cisco TP units in support of distance learning. - Creating a new wet lab in Smith Science Building for upper division courses. - Furnish classrooms in the bottom of Magnolia House to house U 101 classes in fall 2011 	
4	Position the University to be recognized as an academic leader in the Upstate and as a critical partner in its economic and social development.	<ul style="list-style-type: none"> - Advance the development of land surrounding the residential campus in collaboration with Pacolet Milliken Enterprises LLC - Support the private development of Spartanburg downtown's Montgomery Building for student residential housing and commercial activities. - Launch the development of Greenville campus of USC Upstate. - Create strategic plan and campaign goals for the USC capital campaign. Fundraising goal could be \$50 million, to coincide with the 50th anniversary of USC Upstate in 2017. - Participate in the implementation of the 40/30 initiative (Creation of the College Hub, etc) - JCBE: co-host the Chamber Economic Outlook Breakfast - MSI: Continue to coordinate the data management and reporting portion of the Spartanburg Community Indictors project. 	3.2.1 3.4.1 7.1.2
5	Create enrollment capacity to meet the needs of the growing Upstate population.	<ul style="list-style-type: none"> - Continue to push for parity to allow equal funding of faculty, etc - Train for and implement Banner student module - Revise academic catalog to include all new department codes for all academic courses - Information Systems will supply data and reports to the campus as needed, including the use of Cognos as the various systems come online - Implement electronic document management system for enrollment services - Train for and implement Resource 25 scheduling software to move all class scheduling to electronic format - Hire a Registrar - Continue expanding Direct Connect - Consider accepting Associate Degrees and previously earned Baccalaureate Degrees for general education requirements - Build an Adult Recruitment Web site and develop needed materials to promote specific degree offerings, in collaboration with Enrollment Services. - Begin Banner payments - Plan for growth in Greenville 	7.1.2 7.1.7 7.2.2
6	Pursue excellence in human resources, organizational effectiveness, financial, technological and workforce management and resource sustainability.	<ul style="list-style-type: none"> - Train for and implement Resource 25 scheduling software to move all class scheduling to electronic format - Create plan to incorporate into the USC capital campaign. Fundraising goal - \$50 million, to coincide with the 50th anniversary of USC Upstate in 2017. - Begin process of electronic document management for financial aid and student record information. (Banner) - Continue development of the campus master plan with further the development of the lower quad and completing the "fit and finish" of campus with the campus entrance projects - Work with various constituents on campus to implement energy conservation initiatives - Create the USC Upstate Capital Projects Foundation to separate capital projects from the educational foundation - Network services will evaluate, procure and install a secure document delivery system (fax server) to help reduce hardware and printing costs on campus. - Renovate Villas Building One back to a residence facility - Relocate University Police - Additional security infrastructure on campus- cameras, card access to buildings, and emergency call boxes on campus - Add sound attenuation and lighting enhancements to the large multipurpose room in the University Readiness Center - Replace the HVAC chiller in CLC with a more energy efficient system (funding - energy saving grant) - Install new softball stadium drainage system - Complete Phase 1 for the Administration Building - Implement projects with deferred maintenance proviso funding. 	1.9.1 3.2.1 6.3.1 7.2.5 7.4.1 7.4.2 7.4.6 7.4.7
<p>* Key Cross-References are a link to the Category 7 - Organizational Performance Results. These References provide a Chart number that is included in the 7th section of this document</p>			

Category 3: Student, Stakeholder and Market Focus

1 How do you identify the student and market segments your educational programs will address? How do you determine which student and market segments to pursue for current and future educational programs, offerings, and services?

The USC Upstate mission statement defines the “citizens of the Upstate of South Carolina” as the focus of the programs and services delivered by the institution. It is the intention of the University to offer a broad range of major curricula in arts and sciences and in professional fields of study required by the regional economy, including business, education, and nursing. The academic deans and academic administrators work with Enrollment Services and the many two year schools and high schools in the Upstate area to gain a better understanding of student’s educational interest. The deans and other academic administrators also network with local businesses and professional organizations, e.g. the Chamber of Commerce, and survey businesses and alumni in the Upstate to gain a better understanding of the employment needs/demands and the need for continuing education, i.e. professional certifications or graduate degrees. As needs are identified and ideas for new programs are being reviewed, the department proposing a new program is charged with reviewing the current offerings from other institutions in the Upstate to avoid program duplication, projecting student enrollment based on similar programs around the state, projecting faculty needs, cost and other program expenditures. All program proposals must also be approved by USC, S.C. Commission on Higher Education and SACS when appropriate.

Recent Program Changes	Basis for Decision
Addition of Bachelor’s in Art Education	To fill a critical need for the state. Many art educators will retire over the next 5 years and there are not a sufficient number of art education programs to fill the void.
Non-profit program to transfer to College of Business	Faculty senate approved moving the non-profit major to the College of Business and Economics. This move will allow further alignment of the College of Business and Economics programs to support the needs of both for profit and not-for-profit organizations.
Addition of Bachelor’s of Science in Engineering Technology Management	Upstate businesses strongly encouraged USC Upstate to initiate this program. No four-year colleges or universities in the state currently offer an ETM program. Thus, in collaboration with five technical colleges, USC Upstate started this program so businesses would have college-educated supervisors in the field of engineering technology management.
Figure 3.1.1	

2 How do you keep your listening and learning methods current with changing student and stakeholder needs and expectations (including educational programs, offerings, and service features)? How do you determine the relative importance of the expectations to these groups’ decisions related to enrollment?

A variety of listening and learning strategies have been adopted by the senior leadership team and individual divisions/departments to maintain a consistent awareness of the needs and expectations.

Stakeholders – Methods for Listening and Learning	
Prospective Students & Parents	Fabulous Fridays (parents and prospective students visit campus)
New Students & Parents	New student orientation, Transfer student orientation, Advising Center/Faculty Advisors, EBI Student Satisfaction Survey, Placement Test, Parent Newsletter, Parent website
Current Students	Student Government Association meeting with Senior Leaders, Advising Center/Faculty Advisors, Center for Student Success, Classroom Presentations – Student Surveys (Pre- & Post), Exit Surveys, General Education Assessments, Residential Housing Surveys

Employees	Annual employee surveys of all administrative areas, Annual faculty feedback for academic leaders, Conversations with the Executive Vice Chancellor
Alumni & Donors	Alumni Surveys, University Review Magazine, Web page, Alumni Board, E-mail correspondence, Events, Telephone calls, Letters, Stewardship events
Employers	Career Center Advisory Team (internal & external employers), Recruitment Events- Employer Surveys, Employer Job Postings – Follow-up Survey, Career Center Webpage (Employers & Students)
Community Partners	University Review Magazine, One-on-one meetings with senior leaders, Chancellor's community organization speaking engagements, participation in on-campus advisory boards.
USC System & Board of Trustees	USC System Meetings, USC Board of Trustees Meetings
Figure 3.2.1	

3. How do you use information and feedback from current, former, and future students and stakeholders to keep services and programs relevant, and provide for continuous improvement?

Much of the data and information collected and analyzed is facilitated through the Office of Institutional Research, Assessment and Planning. The data is disseminated to senior leaders and to the Strategic Issues Advisory Task force for review and decision making. All assessment data are analyzed to ensure programs and services are meeting the expectations of the stakeholders and complying with established standards. The continuous improvement cycle is followed to ensure that improvements and enhancements are made based on the feedback received.

USC Upstate also participates in a number of national studies that provide a mechanism for comparative program analysis and trend analysis. The EBI graduate exit surveys for nursing, business and education are examples of an assessment surveys administered to all students nearing graduation. The results will be compiled and reported from EBI in an electronic format with comparable data for other participating institutions.

4. How do you determine student and stakeholder satisfaction and dissatisfaction and use this information to improve?

USC Upstate uses a variety of methods to gather information on student and stakeholder satisfaction. Depending upon the type of data gathered, information is disaggregated or segmented to determine variances by particular variables, e.g. student gender or faculty rank. Data is also used to inform decision-making as action plans are developed to address any issues.

Instrument	Stakeholders	Frequency
Educational Benchmark Exit Survey	Seniors - Business, Nursing, Education	Every three years.
ACUHO-I/EBI Resident Study	Housing	Every three years.
Freshman Student Experience Survey	All freshmen from the previous academic year	Every three years
Transfer Surveys	All Transfers from the previous academic year	Every three years
Graduate Surveys	All graduates from the previous academic year	Every three years
Alumni Surveys	Graduates	Every other spring, 2 – 4 years after graduation.
Student Opinion Polls	Current Students	End of every course
First Year Initiative Survey	Students in Univ. 101	Every other year
Departmental Surveys for all departments on campus	Students, Faculty, Staff, Community Partners, Alumni	Ongoing
Administrative Department Surveys – Counseling Services, Disability Services, etc...	All Faculty and Staff	Annually
Major Surveys – Engineering Technology Management, English, Nonprofit, etc...	Current Students taking courses in each area	Annually

Academic Department Graduate Surveys— Education, History, Engineering Technology Management, etc...	Graduates from the previous year	Annually
NSSE – National Survey of Student Engagement	Current Freshmen and Seniors	Every three years
FSSE – Faculty Survey of Student Engagement	All faculty	Every three years
Senior Surveys	School of Education Seniors	End of fall and spring semesters
Graduate VI Course Outcomes Evaluations	All graduate VI course enrollees	Each semester
Faculty Survey of Administrators	All Faculty	Annually
Employee Satisfaction Survey	All Faculty and Staff	Annually
Employer Surveys (Education, Graduate Education, Engineering Technology Management)	Employers of Graduates	Every or every other year
Administrative Area Surveys	All Faculty and Staff	Annually
Figure 3.4.1 (2010)		

5. How do you build positive relationships to attract and retain students and stakeholders, to enhance student performance, and to meet and exceed their expectations for learning? Indicate any key distinctions between different student and stakeholder groups.

Building positive relationships with students and stakeholders begins at the pre-enrollment stage. Enrollment Services markets the University and its programs and services while trying to engage potential students, parents, and guidance counselors with our campus community. Through recruitment efforts such as Fab Fridays, Juniors Scholars, Summer Scholars, Open Houses, guidance counselor luncheons, etc., Enrollment Services is able to communicate effectively and connect with interested parties. Once a student has decided to attend USC Upstate, the student and parents receive further information with regard to joining the campus community (i.e. orientation registration, housing application, meal plan information, financial aid award letter, student employment opportunities, special mailings about campus programs and initiatives, etc.). At summer orientations, students and parents alike are introduced to the campus culture, policies and procedures, faculty members, important campus resources, etc. Students are immersed in student culture through the peer educators that serve as orientation leaders, as well as, being introduced to the academic culture via faculty welcomes, course advisement and registration, and a series of breakout sessions connecting students to various important campus resources and personnel. Parents are also deemed important and participate in their own orientation sessions where they hear from academic deans and important campus resource personnel, and are able to access different offices/services on campus in one location via the Information Fair. These early connections built with students and parents establishes an important precedent for ensuring continued communication that contributes to student retention, student learning, and satisfaction with the University in general.

Once the student enrolls and arrives on campus, various other programs, initiatives, and services assist in helping students form intentional connections with other students, faculty, and staff. Student Affairs and Athletics provide programs, student activities, and support systems to help students connect to each other and to provide means of social integration into the campus culture. In academics, first year students are exposed to several different options that provide intentional integration (i.e. University 101, learning communities, comfort communities, “Preface” common reading and writing experience for freshmen, residential life academic programming, etc.). Enhanced student performance is generally a by-product of these special programs and initiatives, as measured by increased student success in the classroom as well as with increased retention

figures. There are additional academic support initiatives that also focus on improving classroom student performance (i.e. supplemental instruction, tutorial services, Early Intervention Program, increased smart/enhanced classrooms to improve classroom learning through technology, disability services, opportunity network (federally funded TRIO Student Support Services program), etc.).

Many of these campus initiatives attempt to reach distinct student groups, but certainly they are not mutually exclusive. Much emphasis is placed on freshmen because their first year successes contribute significantly to their retention and graduation rates. Within the freshman cohort exists other individual groups such as on-campus students, University 101 students, students in learning communities, opportunity network students, supplemental instruction participants, etc. These groups are intertwined to provide a broad based approach to reaching students in multiple venues and developmental stages. Transfer students are another group of stakeholders that need specific attention and the university is beginning to explore ways to reach these students to ensure their success. Parents also play a key role in their student's success and Enrollment Services and other key offices such as the Center for Student Success and Student Affairs contribute to building those positive relationships – before students arrive on campus until they graduate and beyond. Other key stakeholders may refer to alumni, community members involved in university programs, initiatives, and advisory boards, community youth and senior citizens that may benefit from service learning initiatives and other programs that support our metropolitan mission.

Category 4: Measurement, Analysis, and Review of Organizational Performance

1 How do you select which operations, processes and systems to measure to determine student learning, and for tracking daily operations and overall organizational performance, including progress relative to strategic objectives and action plans?

USC Upstate's mission, values, and strategic plans serve as the platform for the development of institutional key performance indicators (KPIs) to track daily operations and organizational performance. In selecting KPIs, particular attention is paid to the alignment and integration of data into a performance management system that aids leaders and stakeholders in monitoring institutional progress. Consideration is also given to the availability of comparable data from other institutions to allow for benchmarking and the ability to collect and analyze longitudinal data to determine cause and affect relationships.

Indicators of student learning are determined primarily by the faculty of the institution as required by our regional accrediting agency, SACS. Faculty committees determine the stated student learning outcome objectives, means of assessment and criterion for successful achievement. The data collected on the student learning outcomes is used to make changes in pedagogy, curriculum, and academic support services.

2 How do you select, collect, align, and integrate data/information analysis to provide effective support for decision making and innovation throughout your organization?

Performance data are regularly used in decision making throughout the institution, including, but not limited to, admission, enrollment, student achievement, student satisfaction, and retention and graduation data, budget projections, space projections, budget analysis, personnel data, health, risk and OSHA data. Many of these data sets are compiled either on a consistent cycle and reported broadly across the institution or compiled by the Strategic Issues Advisory Committee and used as the basis of their annual recommendations for strategic planning.

Selection, collection, alignment of data at the institutional level is facilitated through the chancellor's cabinet and the Strategic Issues Advisory Committee. Both groups collect and analyze a variety of

data for use in decision making and planning. The data collected and the subsequent actions based on analysis are shared across the institution through division/department meetings.

3 How do you keep your measures current with educational service needs and directions?

USC Upstate’s key measures are broad in scope and are designed to give an overview of progress and achievement in several areas of institutional performance to various stakeholders. The key measures are intended to create a balanced focus on students, faculty/staff and other stakeholders and also to inform responsible individuals and departments of relevant issues and performance discrepancies. The key measures are kept current through the selection of comparative data based on the most appropriate data available.

Key Measures	Data/Indicators Reviewed
Student Quality	Incoming freshmen analyses (GPA, SAT, HS Rank), Analysis of transfer student performance on Gen Ed assessments, Transfer student GPA, Enrollment, Scholarship Funding
Student Success	Freshmen to sophomore retention, six-year graduation rates, Life/Hope Scholarship retention, professional exam pass rates, major field test scores, standardized and in-house general education assessments (CAAP, Proficiency Profile, IDI, etc...), tutorial services participants, academic performance data, FYI Survey (First Year Initiative)for University 101 students, MAP-Works for first-year student retention efforts; University Freshmen, Transfer, Graduate, and Alumni surveys, Department student satisfaction surveys, use of Early Intervention Program and success of students contacted, success of students participating in University 101, learning communities and supplemental Instruction, professional exam pass rates, analysis of graduates
Student Satisfaction	Residential Life Survey, NSSE and EBI surveys on a rotating basis, FYI Survey targeting experiences of UNV 101 students, Alumni Surveys, Freshmen, Transfer, and Graduate Surveys, Student event satisfaction surveys
Finance	Tuition, State Appropriations, Enrollment, Greenville Credit Hour Production Scholarship Funding, Grants, CIB Funding
Faculty/Staff	Terminal Degrees, Competitive Salary, Satisfaction, Student/Faculty Ratio, Full-Time vs. Part-Time Faculty Ratio
Operational Efficiency/ Effectiveness	Student/Faculty Ratio, Degrees Awarded, State Appropriations/Student FTE Space Utilization, Master Plan Development, Student Credit Hours per Faculty
Educational Compliance	Degree program accreditations (Nursing, Education, Engineering Technology Management, Computer Science, etc...); SACS accreditation
Figure 4.3.1	

4 How do you select and use key comparative data and information from within and outside the academic community to support operational and strategic decision making?

USC Upstate has established a group of peer institutions for data comparisons on key measurements, in addition to regular comparisons to all South Carolina teaching institutions. The comparative data gathered and used from these selected institutions will be both quantitative and qualitative to allow benchmarking of best practices when performance variances are noted in addition to tracking of progress on key indicators.

National and regional data are used in comparisons as available. A few examples include: CUPA HR (College and Universities Professional Association for Human Resources) salary data is used for comparing faculty salaries by discipline and rank; NACAS (National Association of College Auxiliary Services) data is used for comparisons of institutional auxiliary services and support services, i.e. what is the average square footage maintained by a full time custodial employee; participation in the Delaware Study permits access to teaching cost and productivity comparative data for each discipline designated for review.

Comparative data from a number of national studies is also used for academic and administrative assessments, e.g. ACUHO- Resident Assessment, the Collegiate Assessment of Academic

Proficiency (CAAP), EBI Undergraduate Nursing, Education and Business Exit Assessments, EBI First Year Initiative (University 101) Survey.

Institutional trend data are also analyzed consistently to support decision making in a variety of areas – enrollment projections, tuition and budget decisions, personnel decisions and operations management.

5 How do you make needed data and information available? How do you make them accessible to your workforce, students, and stakeholders?

Senior leaders recognize the importance of having relevant, reliable and accurate data available in a timely manner. Institutional data is updated regularly to reflect the most current data available for trend analysis and is made available through the web and regular reporting for faculty and staff to access as needed. Data not housed on the web nor contained in a report can be obtained by submitting a data request to the Office of Institutional Research, Assessment and Planning or the Finance/Budget Office. Data accuracy is often validated through triangulation with USC Columbia’s Office of Institutional Assessment and Compliance and the South Carolina Commission on Higher Education.

Data security is a priority for senior leaders who have established an expectation for the campus to comply with industry standards. As the awareness of potential issues arise, plans are created and action taken to ensure the implementation of the appropriate policies and procedures.

6 How do you ensure data integrity, timeliness, accuracy, security, and availability for decision making?

To ensure data integrity, USC has published a chart of data stewards; anyone wanting to use a particular data set must go through the data stewards to ensure data integrity. Also, published data comes from the data stewards. Timeliness of data is an issue with the complex and archaic data systems that are used by the USC System. A new data system has been selected and will be implemented in the next several years.

7 How do you translate organizational performance review findings into priorities for continuous improvement?

Review of KPIs is one primary method of determining priorities for continuous improvement. As data is collected and reviewed, results are disseminated and analyzed for needed changes or enhancement to operations. If performance data is not trending towards the targeted outcome or data trends change dramatically, senior leaders and responsible department leaders’ work together to analyze the data and develop mid-cycle changes or adaptations.

8 How do you collect, transfer, and maintain organizational and employee knowledge (knowledge assets)? How do you identify and share best practices?

Policies, procedures and best practices are often documented to aid in transferring and maintaining organizational and employee knowledge. Departments benchmarking best practices within their functional areas generally network with other institutions or our identified peer institutions to learn and share ideas about best practices. At an institutional level, senior leaders appoint cross functional teams to identify best practices on a variety of issues both internally and externally and the teams are charged with communicating their various findings to the campus community. In instances where improvements are needed and internal expertise is insufficient, consultants with an expertise in the area are brought in to work directly with the departments to identify areas of opportunity and aid in developing improvement plans based upon current best practices.

Category 5 – Faculty and Staff Focus

- 1 How do you organize and manage work to enable your workforce to develop and utilize their full potential, aligned with the organization’s objectives, strategies, and action plans and promote cooperation, initiative, empowerment, innovation, and your organizational culture?

Senior leaders openly discuss targeted improvements in the alignment of personnel and work processes. Discussions and decisions focus on ensuring that processes are seamless and that value is added during each step. Departments also align the administrative outcomes for their office with the mission of their department and the University. These outcomes are assessed annually and a report is submitted to the committee to review and provide feedback on the Administrative Assessments. A committee uses a standardized rubric to provide feedback in a consistent manner; a section of the rubric is dedicated to providing feedback on the alignment of the departmental actions and achievements with the overall institutional goals. USC Upstate has initiated a universal review date for the employee performance management system. The timing of the cycle for reviews intentionally lines up with the institutional and departmental planning cycle for the year to aid in facilitating a more formal feedback and planning loop.

- 2 How do you achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations?

Faculty, staff and students achieve effective communication through various means, see Table 1.1.1. Email is used as the daily standard communication method by faculty, staff and students. The university website is another means of supporting consistent, effective communication with faculty, staff, students and other stakeholders by providing access to a wealth of information including faculty/staff on-line directory, policies, course syllabi database, master calendar of all events on campus, strategic plan, campus department overviews, applications, admissions and financial aid information for students, etc. Division, department, and committee meetings are also used to share information. The USC Upstate RSS news feed is another means that is used to keep campus updated.

Knowledge, skills and best practices are shared across campus in both formal settings and informal settings including committee meetings, colloquiums, research symposium, departmental meetings, Chancellor’s Cabinet, Academic Affairs Council, Staff Council, etc. Ideas and best practices are shared during training sessions on campus. In some instances, the trainer may have suggestions and participants are allowed to share their own experiences and procedures for handling particular issues.

- 3 How does your workforce performance management system, including feedback to and from individual members of the workforce, support high performance work and contribute to the achievement of your action plans?

Clear expectations are paramount for employees to perform at the highest level and for the institution to achieve its mission and meet its strategic goals. In the recruitment process, supervisors review and update job duties and ensure that requisite knowledge, skills and abilities are clearly stated within the position description prior to beginning the recruiting process.

Staff: Annually, through the Employee Performance Management System, supervisors provide feedback on the employee’s job performance and achievements during the past year. The supervisor and employee also review the employee’s position description and reaffirm job expectations. The supervisor and the employee collaborate on specific objectives for the employee to accomplish during the upcoming year. The objectives assigned are directly linked to the department tactics and the institutions tactics for the upcoming year to allow all employees to see the “larger picture” and how the achievement of their objectives impacts the overall progress of the institution.

Faculty: Faculty are provided annual reviews from their supervisors and receive summarized feedback from the students in their courses through an end of course evaluation process. Tenure-track faculty are reviewed by a committee of their peers and colleagues as they work through the promotion and tenure process.

4 How do you accomplish effective succession planning? How do you manage effective career progression for your entire workforce throughout the organization?

Each year senior leaders openly discuss and review the personnel in each division giving particular consideration to positions in which the current employees are near retirement. If retirement or other changes are imminent, a plan and timeline is put into place to ensure cohesion of responsibilities and minimal loss of organizational memory as retirements or other changes occur within the organization. Senior leaders also review the organizational structure and department responsibilities to ensure the organizational alignment is appropriate for supporting the goals of the institution.

The institution does not currently have a formal process for supporting career progression for staff. Each individual supervisor works with the employees within their department through the annual EPMS process to make assignments of objectives that could be developmental in purpose or plan for training or mentoring in the upcoming year. Career progression for faculty is mapped out and governed by the promotion and tenure process which is documented in the faculty manual.

5 How does your development and learning system for leaders address the following: a) development of personal leadership attributes; b) development of organizational knowledge; c) ethical practices; d) your core competencies, strategic challenges, and accomplishment of action plans?

Leadership workshops are offered each semester and are open to current supervisors and others that may want to attend for development to prepare for more responsibility; examples of workshops that are offered on a rotating basis are: situational leadership, DISC profile, effective communication, etc. Leaders can also use dollars in their budgets to attend external workshops. Organizational knowledge is acquired primarily through training provided to all new supervisors within their first thirty days with the university, in addition to on-the-job training and mentoring. Ethical practices are addressed in a variety of ways, 1) responsibility forms are issued and signed before employees are given access to a variety of information and 2) ethics policies are covered with leaders annually. Institutional core competencies, strategic challenges and tactics/action plans are covered with new leaders as a part of their institutional orientation. Since every department participates in the creation of the annual tactics plans in support of the larger strategic plan, as well as the budgeting process, it is imperative for all leaders to understand the process and their role in the process.

6 How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?

Staffing levels are reviewed by benchmarking other institutions and reviewing minimum requirements of departments and work distribution. To supplement full-time staffing levels, many offices use part-time employees and students workers. The EPMS process is used to gauge skills and competencies of the workforce and to create development plans for preparation for future responsibilities. Staffing capacity needs are evaluated by identifying job duties and evaluating for skills required for a hiring situation or skills needed for development purposes.

7 How do you recruit, hire and retain new employees?

Our recruitment process is an open process. At a minimum, all positions are posted on the Human Resources webpage and additional advertising is done at the direction of the hiring manager. All

staff applications are reviewed by Human Resources for minimum qualifications and then passed along to the hiring manager/search committee for review. All hires are based on review of credentials/qualifications and best fit for the position and the organization. The biggest issue in retaining employees is maintaining competitive salaries both with faculty and staff. Efforts initiated to retain employees include actively engaging employees in the administration/operation of the university, maintaining competitive pay and benefits, tuition reimbursement, and the option to apply for other positions after one year in the most current position.

8 How does your workforce education, training, and development address your key organizational needs? How do you encourage on the job use of new knowledge and skills?

Education, training and development opportunities are identified at several levels throughout the organization: 1) campus-wide needs, 2) division/department needs, 3) individual needs, and 4) compliance needs. Campus-wide needs are identified through the strategic planning cycle and are intended to address developmental issues from the macro level, e.g. the development and implementation of a new faculty and staff orientation or software training for all employees to prepare for the introduction of new or upgraded software on campus.

Division/department needs are identified either through departmental discussions of topics that could benefit the department or through performance issues, such as, on-going issues with specific processes that may need to be reinforced through training. These training needs are addressed primarily through the division/department leader working with subject matter experts (SME's) on the USC Upstate campus, the USC campus, or contracting with an authority in the area.

Individual training needs are identified primarily through the supervisor and the employee and are based on specific skills the employee needs to be successful in their job. Individual training needs are handled in various ways depending upon the need. Employees can sign up to attend technology training sessions offered on campus and on-line technology training is also available. CD's on a variety of topics are available for loan to employees throughout the year and a variety of personal and professional workshops are offered on campus throughout the year. One-on-one training is also provided on specific university policies and procedures.

Compliance training needs are identified across campus primarily by offices or departments responsible for ensuring compliance, e.g. OSHA training is implemented annually and is coordinated by the office of risk management.

Transfer of skills into the workplace is encouraged/reinforced by the supervisors in the departments. Most of the skill refinement comes through repetitive use of the new skill over a period of time and if needed, the employee can attend another training session or follow up with the trainer for further support. do you evaluate the effectiveness of your workforce and leader training and development systems?

All participants in training workshops/seminars on campus receive a follow-up survey about the workshop. The feedback from the workshop is sent to the instructor/department that sponsored the training to aid in continuous improvement of workshops. Also, each participant is solicited for feedback on any additional training and development that should be provided on campus. Our training evaluations are generally level 1 & 2 evaluations; we will continue working to move our training evaluations to the next level to ensure transfer of the skills to the work place.

9 How do you motivate your workforce to develop and utilize their full potential?

USC Upstate uses a variety of incentives to encourage and motivate employees to develop and utilize their full potential.

- Employees are eligible for tuition reimbursement after six months of employment.
- Faculty can apply for institutionally funded grants through the Teaching Excellence Committee (TEC); over \$150,000 in grants are being awarded annually.
- Faculty are granted sabbaticals to allow time to focus on their scholarly endeavors.
- Staff and professional employees are encouraged to continue development in their trade or professions and can be rewarded through merit pay increases or bonuses
- Administrative employees are encouraged to participation in professional organizations, attend conferences, etc.
- Employees are eligible to apply for positions on campus to advance their careers if they have the requisite skills.

10 What formal and/or informal assessment methods and measures do you use to obtain information on workforce well-being, satisfaction, and motivation?

The institution monitors faculty and staff well-being, satisfaction and motivation through a variety of measures. Surveys are implemented each year to gauge satisfaction with many of the services, programs and processes on campus and a satisfaction survey covering broad-based topics is implemented every other year. Faculty and staff have representative committees (faculty welfare committee and staff council) in which issues can be channeled to senior management in a systematic manner. Leaders participate in many open forums on campus that allow for frequent dialogue on issues as they arise, e.g. faculty senate meetings. Human Resources uses exit surveys for employees leaving the university to help gather additional information about areas of satisfaction and dissatisfaction.

11 How do you use workforce satisfaction assessment findings to identify and determine priorities for improvement?

Data from the programs, services and processes satisfaction surveys are shared directly with the departments that are responsible for implementation/improvements. The data is also shared with the supervisors and senior leaders responsible so the information can be used when developing specific departmental tactics for the next year. Issues that are identified and are considered institutional as opposed to departmental, e.g. issues that arise from the broad-based survey, are discussed with the senior leaders as opportunities for improvement and plans are created targeting improvements/resolutions.

12 How do you maintain a safe, secure, and healthy work environment? (include your workplace preparedness for emergencies and disasters.)

USC Upstate maintains workplace health, safety, and security through a variety of University programs and processes. The USC Upstate police department takes measures to ensure safety and security for faculty, staff, and students. Police conduct regular facilities inspections, patrol campus grounds, and monitor the campus emergency telephone system and campus security cameras. The police also monitor the fire and severe weather alarm systems. Police work with faculty, staff and students to conduct training sessions on crime prevention and the appropriate ways to handle crisis situations on campus. Police conduct various safety programs, such as escort programs. A campus incident plan has been developed and deployed and on-going training is being conducted with the building/floor coordinators. Emergency phones are located outside all buildings on campus. Health Services, primarily a student service operated on campus and staffed with a nurse practitioner and a nursing staff, acts as both first responders on campus and the first line of treatment for work-related, non-life threatening injuries. A security master plan is being developed to equip the campus with additional cameras both inside and outside buildings to improve the efficacy of campus monitoring.

Category 6: Process Management

1 How do you determine, and what are your organizations core competencies, and how do they relate to your mission, competitive environment, and action plans?

The core competencies for USC Upstate were developed by our senior management team, students, faculty, staff and community partners. They are reflected in our missions and vision statements are reflected in our processes and programs.

Institutional Core Competencies	
<ul style="list-style-type: none"> - Discipline/Technical Competency - Student Focused - Diversity/Multiculturalism - Strategic Leadership - Tactical Management 	<ul style="list-style-type: none"> - Community Engagement - Flexibility /Adaptability - Data Driven - Action Oriented

2 What are your organization’s key work processes?

See 6.3.1

3 How do you incorporate input from students, faculty, staff, stakeholders, suppliers, and partners for determining your key work processes?

As new processes are designed and current processes are re-engineered, the stakeholders involved in or affected by the process are consulted. The discussions are intended to define the expected outcomes – cycle time, cost, and deliverables – identify constraints and issues, map each step of the process and identify improvements and efficiencies that may be gained through the use of technology. Additionally, we have created a feedback mechanism for each division/department on campus to collect feedback on operations and services to facilitate feedback from faculty, staff, students, alumni, community partners and others directly to the departments on an on-going basis.

Key Work Processes	Stakeholder Input
Education	Assessment, student opinion polls, alumni and first year surveys
Academic Support	Assessment, alumni and first year surveys, faculty feedback
Recruitment	First year student surveys, parent surveys, faculty feedback
Human Resources	Employee surveys, supervisor feedback, employee exit surveys
Finance/Accounting	Auditors, students/parents, accrediting agency
Fund Raising	Advisory board, alumni board, faculty/staff and student government association
Public Relations	Department input, student government association, employee surveys
Safety and Security	Student government association, employees surveys, accrediting agency
Figure 6.3.1	

4 How do you incorporate organizational knowledge, new technology, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?

New process design or process review is handled by cross-functional teams, including students, faculty, staff, administrators, and/or external stakeholders as appropriate. This team considers the operational issues, technology issues, and expected outcomes relative to their charge, investigates various approaches to achieving the desired goals, determines which approach would be most effective and efficient within these constraints, and creates an implementation plan for the process. An example of one such process redesign is the student opinion poll (SOP) process. Because every student in every course each semester is given the opportunity to provide anonymous feedback to the faculty, the process and technology that were being used were deemed inefficient. To redesign the

process, a task force was created to look at the entire process step by step as defined below in Figure 6.4.1

Process Steps	Stakeholder(s)	Issues	Outcome
Create SOP questions	Faculty Committee, faculty senate	<ul style="list-style-type: none"> – Are questions relevant to all areas? – Is the number of questions appropriate? – Do questions provide useful information for faculty? 	A standardized set of questions was developed for all courses
Define the administrative steps in the process	Faculty, administrative assistants, assessment representative, and IT	<ul style="list-style-type: none"> – What makes current process cumbersome? – What administrative steps are <u>necessary</u> to protect the validity of the process? 	The current process was deemed unwieldy. In order to protect the integrity of SOPs, neither faculty nor students could handle SOPs more than necessary.
Determine best technology to support	Representative group – faculty, assessment, administration, IT, and finance	<ul style="list-style-type: none"> – What systems are available that meet the needs and are cost-effective 	Class Climate was determined to be the strongest option.
Implementation	Faculty, assessment, IT, finance, administrative assistants	<ul style="list-style-type: none"> – How can the new process be implemented seamlessly? 	Upstate began using its Class Climate SOPs during Maymester 2008.

Figure 6.4.1

5 How do you systematically evaluate and improve your work processes?

Outcome based evaluations are conducted in an on-going format on processes to provide the necessary data for making adjustments to improve outcomes and satisfaction. As we work to improve our process evaluation efforts, in-process evaluations will be added to aid in quicker identification of areas where processes are not meeting the established standards/metrics. As assessment data are collected, the departments responsible for the processes work to revise strategies and action plans to continually improve results. Many of the results are disseminated across various departments and committees to allow for broad based participation and planning for enacting new initiatives aimed at improving results.

6 What are your key support processes, and how do you evaluate, improve and update these processes to achieve better performance?

Key Support Processes, Evaluation Methods, Processes for Improving		
Key Support Processes	Evaluation Methods	Process for Improving/Updating
Academic Support	# of users, course grades of students using services vs. grades of non-users, satisfaction surveys,	Submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Recruitment	# of student participants, contacts, and presentations; satisfaction surveys; collaboration between areas to ensure maximum utility institutional awards; enrollment targets; efficient processing analyses; internal and external audits.	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Human Resources	Workforce surveys, # employees meets by default EPMS, surveys on satisfaction with learning opportunities, % new hire employee paperwork completed on-time and accurately, # EEO complaints	All data are reviewed by the human resources staff with a focus on improving outcomes. Improvement interventions include process redesign with stakeholder involvement, improved communications, program evolution, etc.

Finance/ Accounting	Review of findings of internal and external audits; including attainment of benchmarks and plans for future improvement; review of committee evaluation reports and feedback; review of subsequent reports on implementation and outcomes of improvement measures	Review and revise operational procedures based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports; forecasting of future revenue and expenditures in comparison to historical trends.
Fund Raising	Evaluation results will be based on dollars raised and contacts made in comparison to previous years. Additional criteria include number of new prospects identified and progress being made as they are moved toward a gift.	Better use of donor database to identify and track prospects. Additional training through professional seminars and associations.
Public Relations	Survey of Web site analytics, client needs and satisfaction surveys, collaboration between areas to ensure maximum efficiency and effectiveness, and committee evaluation of reports and provision of feedback	Continual implementation of latest technology to Web sites, review and revision based on findings of internal and external audits, committee evaluation of reports and provision of feedback, and additional training through professional seminars and associations.
Computing	Evaluation of logs from SPAM Filter, Logs from Labs, reports from TrackIT help desk software and satisfaction surveys.	Information is gathered, evaluated and reviewed by IT staff with a focus on improving customer service, technology efficiencies and user support.
Facilities Maintenance	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures	Review and revision based on findings of internal and external audits; submission of annual reports, including attainment of benchmarks and plans for future improvement; committee evaluation of reports and provision of feedback; subsequent reporting on implementation and outcomes of improvement measures
Campus Safety/Security	Evaluation of crime/safety and security statistics data, number of incidents on fire inspections and client satisfaction surveys.	Continue to work with Building Coordinators to raise awareness and improve fire inspections. Improve campus infrastructure and networks to improve campus climate.

Figure 6.6.1

USC Upstate key support processes are designed to enhance and/or facilitate student learning, student success, and student satisfaction. New key support processes or the need for change in key support processes are identified in two ways: 1) identification of a need through the planning process and 2) identification of a need through surveys and needs assessments. In both scenarios, after the need is identified, the responsible individuals/ departments are asked to collaborate appropriately to design and implement an effective solution. As processes are designed or re-engineered, process assessments are built in through the Plan, Do, Check, Improve (PDCI) cycle to ensure continuous improvement.

7 How does your organization ensure that adequate budgetary and financial resources are available to support your operations? How do you determine the resources needed to meet current budgetary and financial obligations, as well as new initiatives?

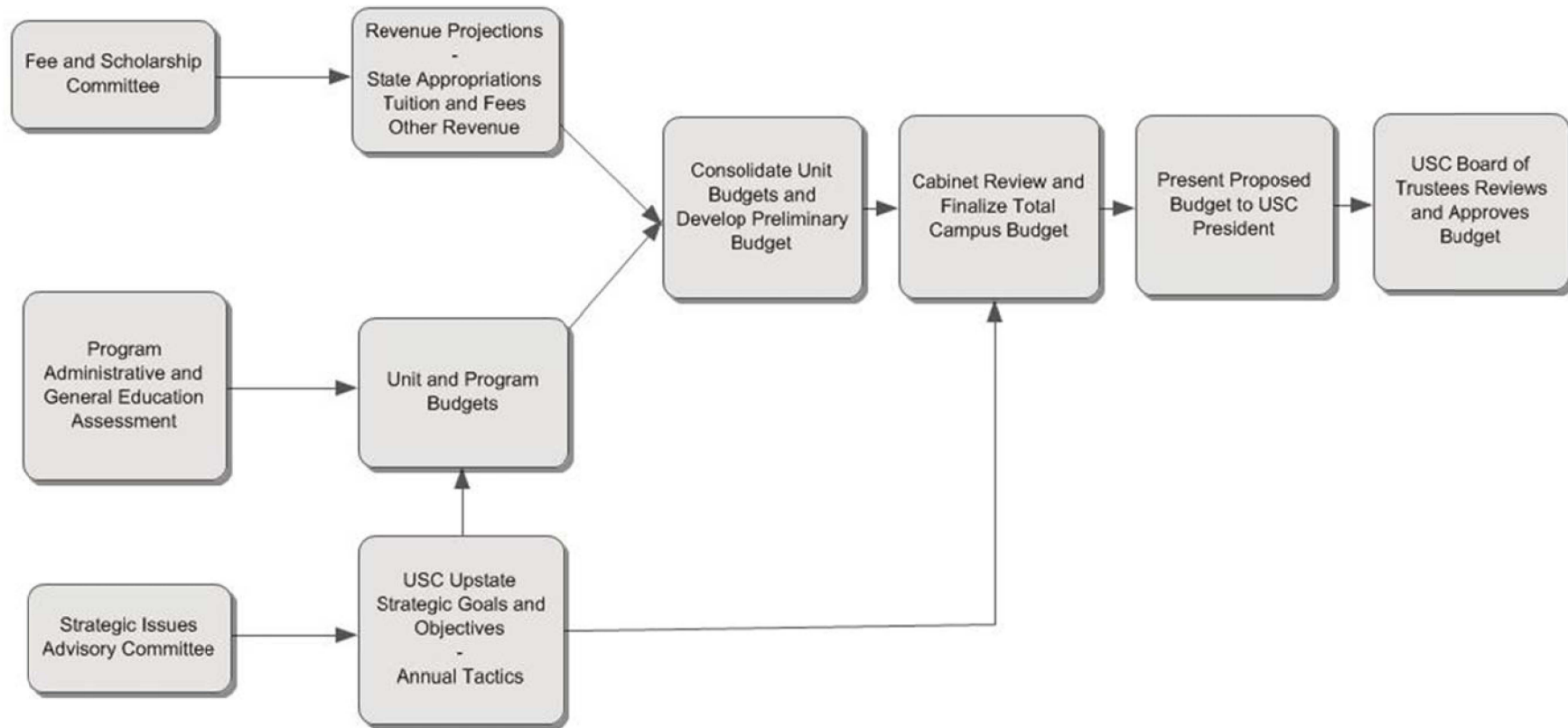
To ensure adequate budgetary and financial resources are available and determine needs for current and new initiatives there are three budget and financial management activities that are performed.

1. A budget development process that is directly linked to the University’s strategic plan in which all operating units are involved in identifying and coordinating the financial operations and priorities. During this process, priorities are analyzed to determine specific strategies and resources available for implementation. Some allocations are contingent upon the final funding available and are phased in or delayed to insure adequate revenue is available.
2. An institutional planning process to establish long-term strategic goals and annual tactics that are to be accomplished within the available resources. During this process recurring needs and new

initiatives are assessed to determine prioritizes. Budget development and management responsibilities are clearly defined for all operations to fully assess resource needs and properly align those needs with unit performance.

3. A revenue determination and tracking system to provide generated revenue projections for all sources, driven primarily by enrollment is also flexible in accommodating changes in state resources. The annual budget plan is subject to several revisions during the budget development process. Also, the Budget Office provides tracking reports for both revenue and expenditures throughout the year in addition to current, on-line budget information available to all operating units.

Strategic Budget Development Process FY 2010-2011



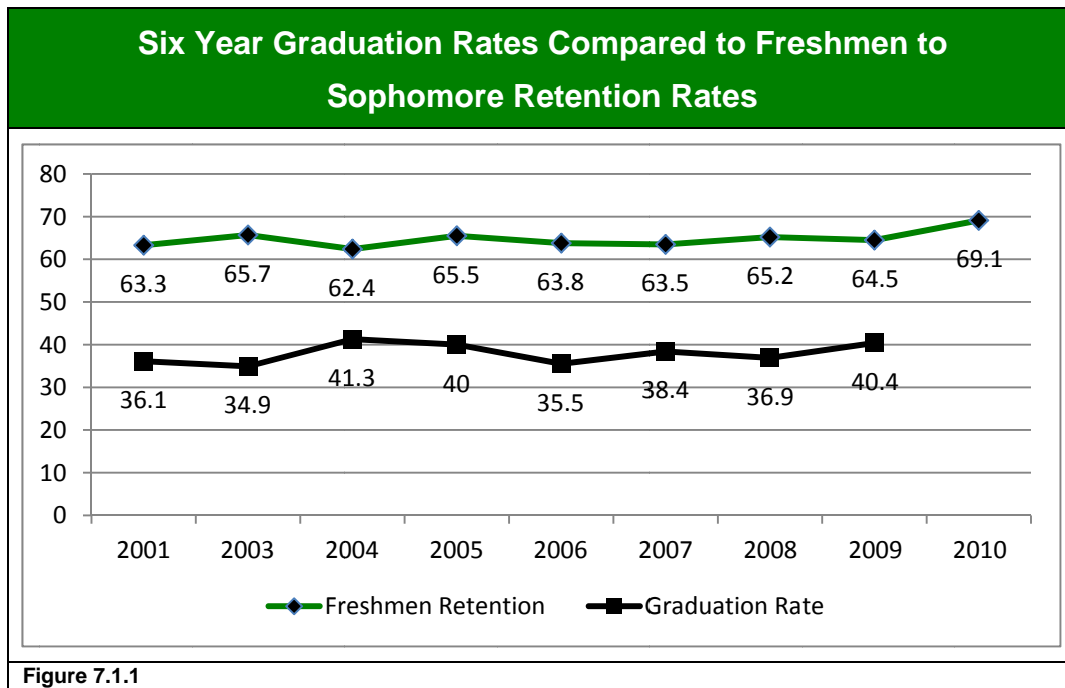
Category 7 – Organizational Performance Results

1 What are your performance levels and trends for your key measures on student learning, and improvements in student learning? How do your results compare to those of your competitors and comparable organizations?

USC Upstate uses many indicators to evaluate student performance including trend data to aid in assessing the continuous improvement efforts, and comparable data to aid in benchmarking.

Graduation Rates and Freshmen to Sophomore Retention Rates: Six year graduation rates is an indicator that USC Upstate has been focused on for several years. For comparison purposes, graduation rates are reported as a six year rate and only track students that start at USC Upstate as first time freshmen. The six year graduation rate for first time freshmen has been inconsistent for many years. As demonstrated in Figure 7.1.1, the six year graduation rate is impacted most directly by retention of the incoming freshmen into their sophomore year. USC Upstate graduates approximately 70% of freshmen that return their sophomore year, which demonstrates the importance of freshmen persistence.

Recognizing the variability in the first-time freshmen retention rate and the understanding of the direct cause-effect relationship between retaining freshmen into their second year and overall graduation rates, decisions have been made to create and implement a variety of student support services, programs and strategies targeting freshmen success. The initiatives that have been implemented long enough to capture data are: university 101, supplemental instruction, an early intervention program and MapWorks a program designed to aid students in self-identifying areas of concern. The data collected on each of these programs are viewed as “lead” indicators for improving student success and the retention of first-time freshmen. The data on these programs is shared with faculty and staff that assist students in making decisions. Organizationally, residential life was moved to the assistant vice chancellor of student success to allow better coordination and focus on residential students with the academic support center.



Degrees Awarded

The number of degrees awarded by USC Upstate has increased significantly, see Figure 7.1.2.

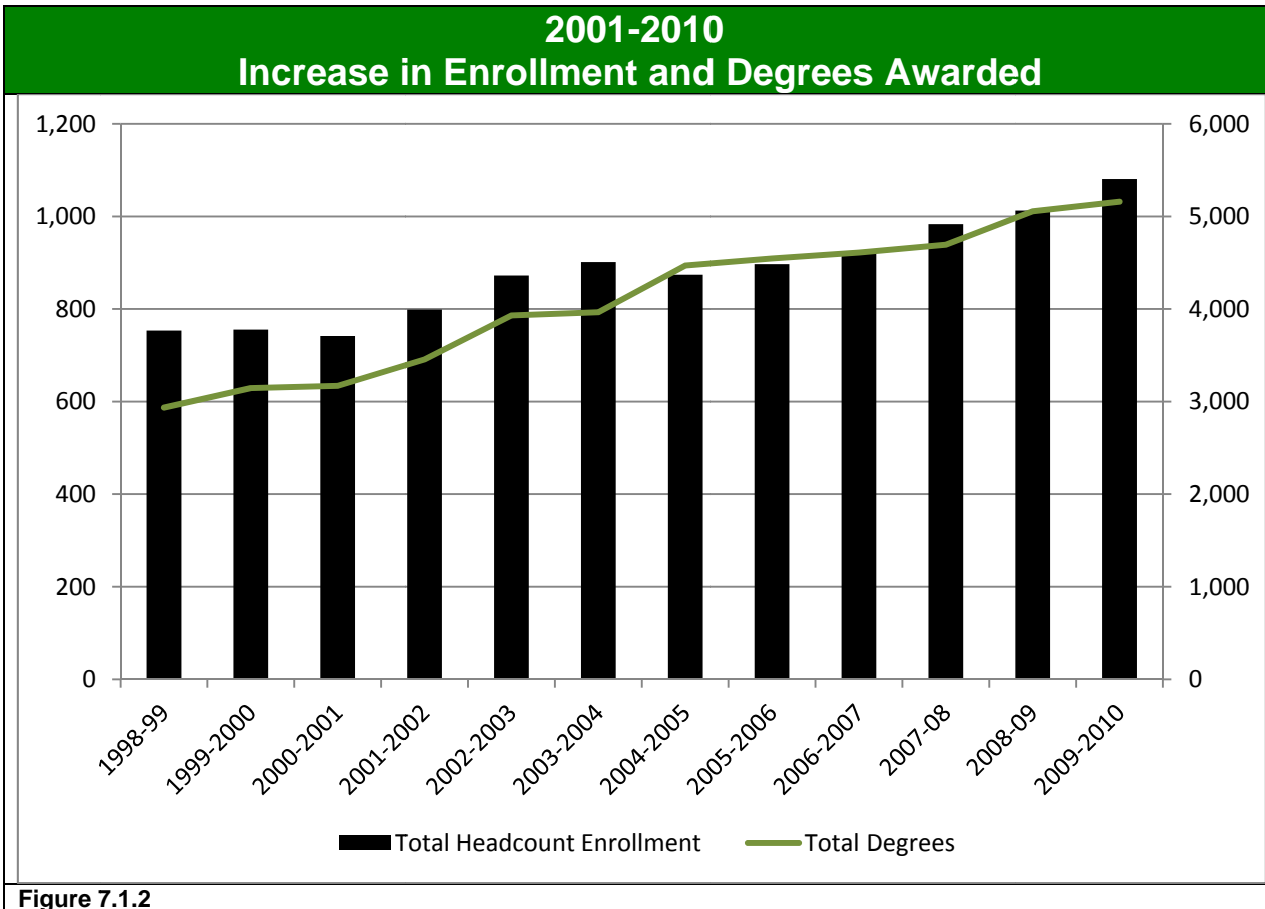


Figure 7.1.2

Recent Graduate Surveys: USC Upstate surveys graduates every three years. Figure 7.1.3 notes the percentage of the respondents that indicated they were satisfied or very satisfied with the various components of their academic experience.

Graduate Satisfaction Survey	
	2008-09
Graduate ratings of the following aspects of USC Upstate:	Good/Excellent
Quality of instruction	90%
Value of general education courses	71%
Quality of academic advising	76%
Graduate ratings of the extent to which USC Upstate improved graduates' abilities in the following areas:	Moderate/Significant
Clear and effective writing	86%
Clear and effective speaking	85%
Problem solving and analytical thinking	94%
Understanding contemporary issues	83%

Figure 7.1.3

General Education Competency Assessments:

CAAP Writing Essay Test: Mean composite, essay 1, and essay 2 scores were similar across administrations. Analysis of the composite scores for the three administrations revealed that, although the differences in means were slight, comparing Spring 2009 with Fall 2007 revealed a statistically significant ($p < .01$) difference.

**CAAP Writing Performance
CAAP Assessment Scores**

		2009/2010		Spring 2009		Fall 2008		Fall 2007	
		CAAP Essay							
		N=207		N=439		N=362		N=349	
		Upstate	Nat'l	Upstate	Nat'l	Upstate	Nat'l	Upstate	Nat'l
Composite	Mean	3.2	3.3	3.2	3.2	3.2	3.2	3.0	3.1
	Std. Dev	0.7	0.6	0.6	0.6	0.6	0.6	0.6	0.6
Essay 1	Mean	3.3	3.3	3.3	3.2	3.2	3.2	2.9	3.2
	Std. Dev	0.7	0.7	0.7	0.7	0.6	0.7	0.6	0.
Essay 2	Mean	3.2	3.2	3.1	3.2	3.3	3.2	3.1	3.1
	Std. Dev	0.7	0.7	0.7	0.7	0.7	0.7	0.7	0.7
		CAAP Science							
		N=131							
		Upstate	Nat'l						
Scaled Score	Mean	61.1	61.7						
	Std. Dev	3.9	4.5						
		CAAP Critical Thinking							
		N=178							
		Upstate	Nat'l						
Scaled Score	Mean	62.1	63.2						
	Std. Dev	5.0	5.2						
Figure 7.1.4									

MAPP Assessment Scores

	Upstate Spring 2010 (N=169)	Upstate Spring 2008 (N=460)	National Mean
Total Score	442.64	447.37	447.94
Skills Subscores			
Critical Thinking	111.42	112.83	112.27
Reading	117.90	119.43	119.54
Writing	113.67	114.77	115.12
Mathematics	112.80	113.72	114.30
Context-based Subscores			
Humanities	114.36	116.11	115.78
Social Sciences	114.11	114.75	114.53
Natural Sciences	114.90	116.05	115.93

	Spring 2010			Spring 2008		
	Proficient	Marginal	Not Proficient	Proficient	Marginal	Not Proficient
Reading Level 1	67%	17%	16%	75%	15%	10%
Reading Level 2	37%	17%	46%	44%	23%	33%
Critical Thinking	8%	13%	79%	8%	16%	76%
Writing						
Writing Level 1	63%	24%	14%	70%	24%	6%
Writing Level 2	19%	37%	44%	20%	40%	39%
Writing Level 3	7%	25%	68%	8%	30%	63%
Mathematics						
Mathematics Level 1	59%	21%	20%	59%	24%	17%
Mathematics Level 2	27%	30%	42%	30%	28%	42%
Mathematics Level 3	6%	15%	79%	9%	18%	74%

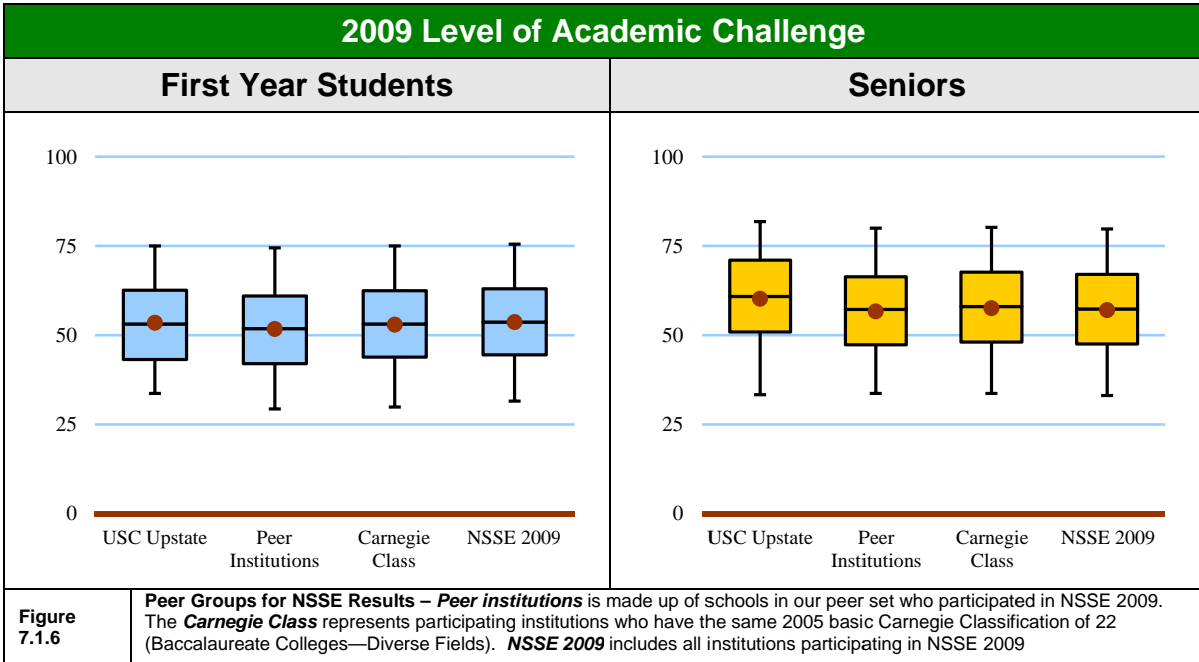
Figure 7.1.5

Total Testing Assessment Scores Spring 2010

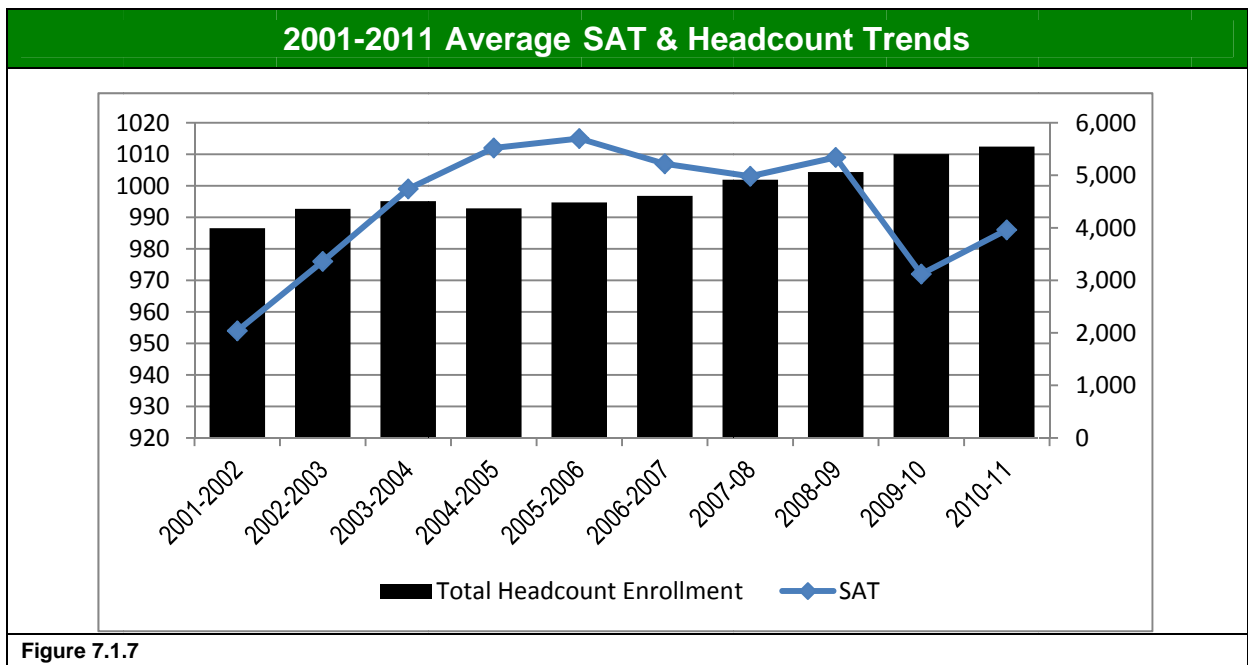
N: 147 Avg. Time Taken: 31 Minutes Avg. Overall Score: 65.54
Average Basic Score: 79.27 Average Intermediate Score: 59.78 Average Advanced Score: 44.51

Topic	# of Questions	Avg % Correct
Digital Literacy-Applications	3	88.52%
Digital Literacy-IT Concepts	1	75.51%
Digital Literacy-Operating Systems	2	82.65%
Digital Literacy-Problem Solving	2	55.78%
Digital Literacy-Software	2	70.41%
Digital Literacy Combined	10	74.57%
Excel 2007-Analysis	3	48.46%
Excel 2007-Editing	5	60.95%
Excel 2007-File Management	1	40.14%
Excel 2007-Formatting	4	61.56%
Excel 2007-Printing	1	86.39%
Excel 2007-Spreadsheet	1	88.44%
Excel 2007 Combined	15	64.32%
Internet Explorer 6.0-CUSTOMIZING	3	52.58%
Internet Explorer 6.0-File Management	1	75.51%
Internet Explorer 6.0-Web Pages	6	73.49%
Internet Explorer Combined	10	67.19%
Word 2007-Editing	1	95.24%
Word 2007-File Management	1	61.22%
Word 2007-Formatting	9	62.45%
Word 2007-Tables and Graphics	2	40.14%
Word 2007-Tools and Automation	2	67.35%
Word 2007 Combined	15	65.28%

2009 NSSE Results: In the 2008/2009 academic year, the University of South Carolina Upstate participated in electronic implementation of the National Survey of Student Engagement (NSSE) through Indiana University Bloomington. 173 first year students and 213 seniors participated in the survey. The students who participated ranked USC Upstate at or above peer institution groups on level of academic challenge.



Average SAT Scores: The average SAT score for the incoming freshmen class is a key quality indicator. This key indicator illustrates an increased interest of quality students in attending USC Upstate and is a strong indicator of growth of the institution’s academic reputation. Since 2005, applications for admissions have grown 30% and since 2001 the average SAT of the incoming freshmen class has increased. During this same period, the incoming freshmen cohort has grown from 616 students with 33% minority representation to 894 students with 40% minority representation.

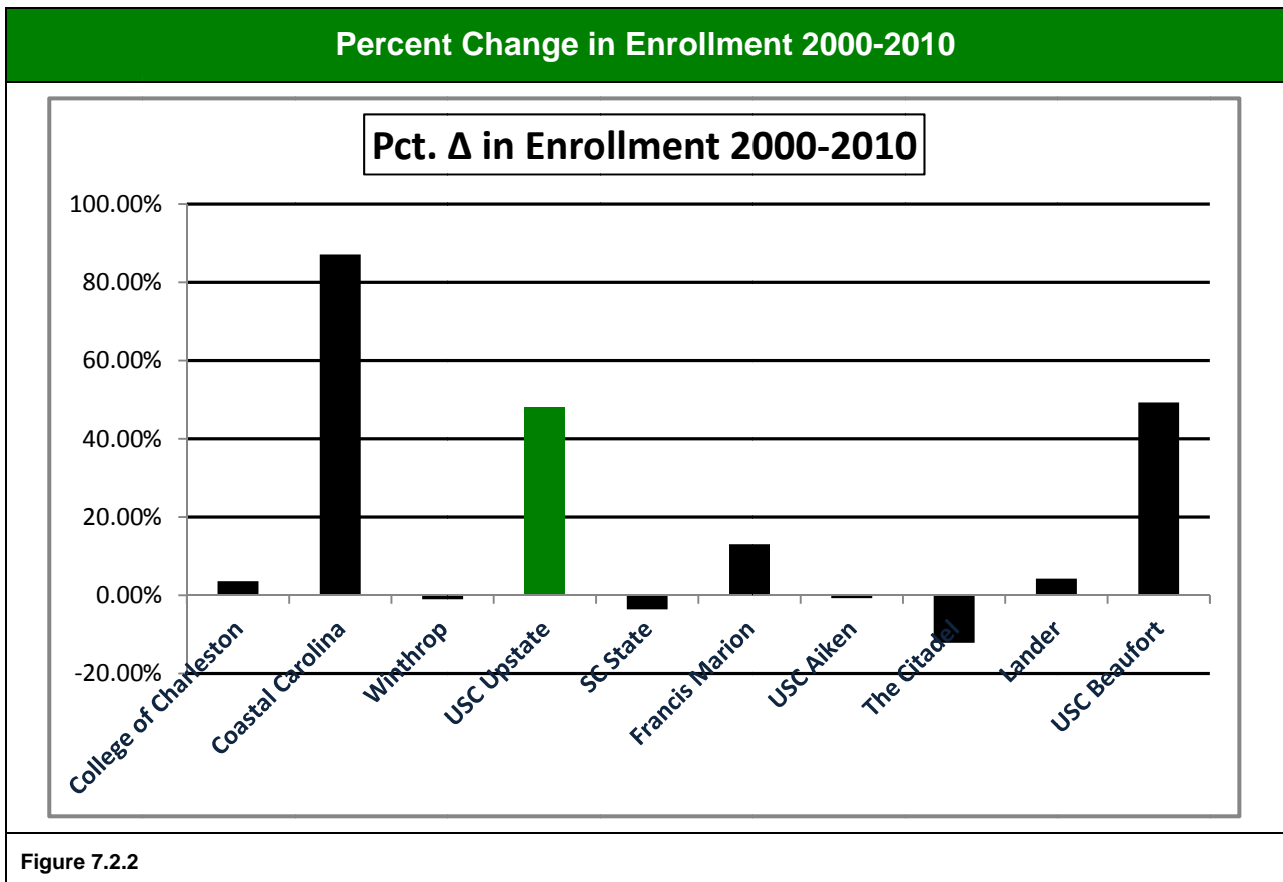


2 What are your performance levels and trends for your key measures on student and stakeholder satisfaction and dissatisfaction? How do your results compare with competitors and comparable organizations?

USC Upstate uses a variety of methods to collect information from students and stakeholders on their satisfaction. The measures include comparative salary data for faculty/staff; our goal is to be at the state average or better than the state average on salaries by faculty rank and by job class for staff. We also administer surveys that include satisfaction indicators each spring to students completing their first year at USC Upstate and students graduating in the last year. We participate in NSSE every three years to gain comparative data and this year we participated in the Great Colleges to Work for survey to gain some comparative data. See table below demonstrating some results.

2009 Great Colleges to Work For Survey	Pct. Agree or Strongly Agree	
	USC Upstate	Carnegie: Bac
Job satisfaction/Support	73	76
Career development, Research & Scholarship	71	74
Supervisor/Department Chair Relationship	74	74

Headcount Enrollment Growth: The growth in enrollment is one strong indicator that students, prospective students and other stakeholders are recognizing the quality reputation of USC Upstate as an in-state choice. USC Upstate has increased enrollment at a rapid rate for the past ten years, only second to Coastal Carolina.



Freshmen Evaluation: Assessment Overview

The Noel Levitz student satisfaction inventory (SSI) contains 75 items, each of which is rated on two scales. Each scale is a 7-point Likert (Importance: 1="Very Dissatisfied" and 7="Very Satisfied"; Satisfaction: 1="Very Dissatisfied" and 7="Very Satisfied"). The "Importance" scale weighs how significant an item is to the student; the "Satisfaction" scale weighs how satisfied the student feels about the university's ability to meet their needs. The combination of importance and satisfaction data allows institutions to review satisfaction levels within the context of what is most important. Overall Satisfaction

Strengths

Strengths are items with high importance and high satisfaction. These are specifically identified as items above the mid-point in importance and in the upper quartile of satisfaction scores. Ordered by smallest to largest performance gap, the items at the *top* of the list are the University's *highest* performing areas.

	<u>Imp</u>	<u>Sat</u>	<u>Gap</u>
• Tutoring services are readily available	6.23	5.71	0.52
• On the whole, the campus is well-maintained	6.29	5.61	0.68
• Class change (drop/add) policies are reasonable	6.24	5.51	0.73
• This institution has a good reputation within the community	6.24	5.46	0.78
• My academic advisor is knowledgeable about requirements in my major	6.47	5.67	0.80
• My academic advisor is approachable	6.43	5.56	0.87
• Nearly all of the faculty are knowledgeable in their field	6.43	5.52	0.91
• Major requirements are clear and reasonable	6.40	5.43	0.97
• I am able to experience intellectual growth here	6.33	5.34	0.99
• Faculty are usually available after class and during office hours	6.36	5.36	1.00
• My academic advisor is concerned about my success as an individual	6.43	5.41	1.02
• The content of the courses within my major is valuable	6.46	5.34	1.12
• The instruction in my major field is excellent	6.50	5.33	1.17

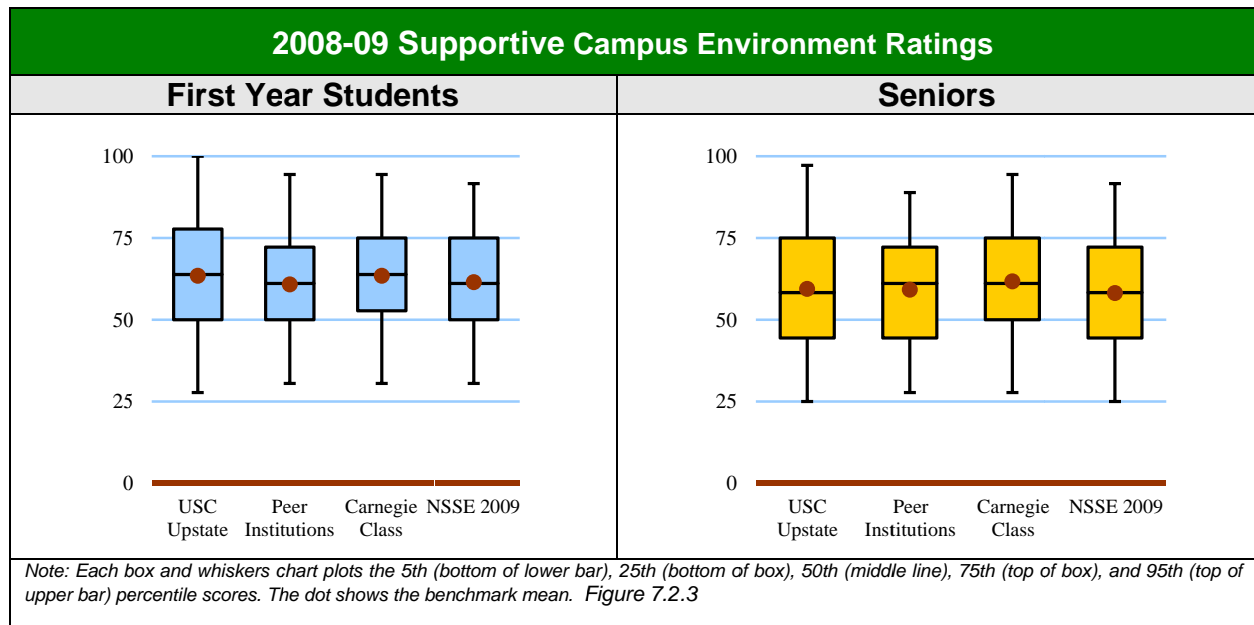
Challenges

Challenges are items with a high importance and low satisfaction score, resulting in a large performance gap. These items are specifically identified as items above the mid-point in importance and in the lower quartile of your satisfaction scores or items above the mid-point in importance and in the top quartile of your performance gap scores. Ordered by largest to smallest performance gap, the items at the *top* of the list comprise the University's major *problem areas*.

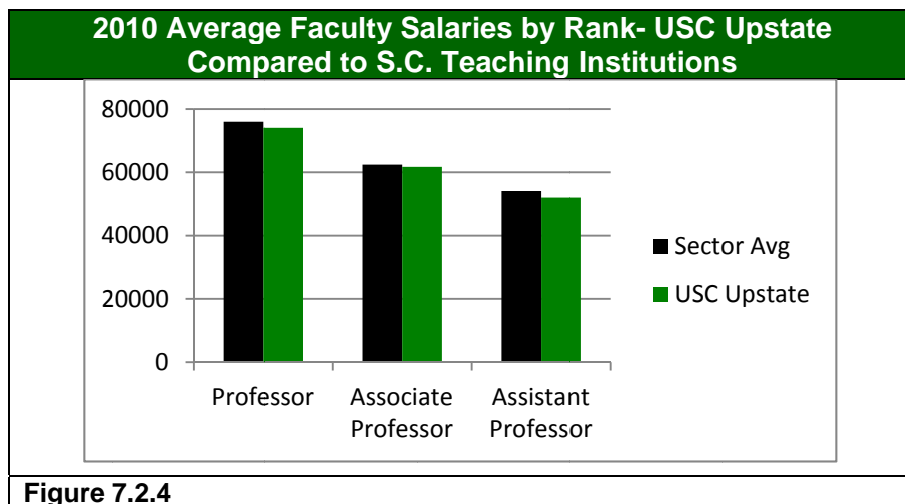
	<u>Imp</u>	<u>Sat</u>	<u>Gap</u>
• The amount of student parking space on campus is adequate	6.32	3.46	2.86
• Adequate financial aid is available for most students	6.39	4.68	1.71
• Student activity fees are put to good use	6.29	4.60	1.69
• Financial aid awards are announced to students in time to be helpful in college planning	6.38	4.75	1.63
• Financial aid counselors are helpful	6.36	4.74	1.62
• Tuition paid is a worthwhile investment	6.38	4.80	1.58
• Faculty take into consideration student differences as they teach a course	6.23	4.75	1.48

• Faculty provide timely feedback about student progress in a course	6.27	4.84	1.43
• Faculty are fair and unbiased in their treatment of individual students	6.41	4.99	1.42
• I am able to register for classes I need with few conflicts	6.48	5.07	1.41
• Security staff respond quickly in emergencies	6.34	4.99	1.35
• It is an enjoyable experience to be a student on this campus	6.28	4.96	1.32
• The quality of instruction I receive in most of my classes is excellent	6.40	5.10	1.30
• Admissions staff are knowledgeable	6.28	5.04	1.24
• Parking lots are well-lighted and secure	6.32	5.08	1.24

From the National Survey of Student Engagement (NSSE). 7.2.4 demonstrates that USC Upstate students have a high degree of satisfaction with support on campus.



Faculty salaries have been a challenge for many years. As a result of completing the analysis, creating a plan and executing the plan for several cycles, we have finally closed the gap for faculty salary by rank with the state average by rank.



3 What are your performance levels for your key measures on budgetary and financial performance, including measures of cost containment, as appropriate?

USC Upstate uses several key measures for budgetary and financial performance to assess continuous improvement efforts and comparable data for benchmarking. Comparisons of tuition, state funding for S.C. students, CIB funding, and expenditures by program area are a few of the areas that are tracked as budgetary and financial indicators.

Tuition: In 1996-1997, USC Upstate tuition was 10.1% below the teaching sector average and the undergraduate population was growing. To enable the University to grow the campus to accommodate the needs of students, the decision was made to begin increasing tuition in small increments each year with the target of moving USC Upstate tuition to the teaching sector average. At the same time the institution was increasing tuition incrementally to reach sector average, the state began cutting allocations to higher education institutions. These budget decreases caused all public institutions within the state to further increase tuition to cover the budget deficits.

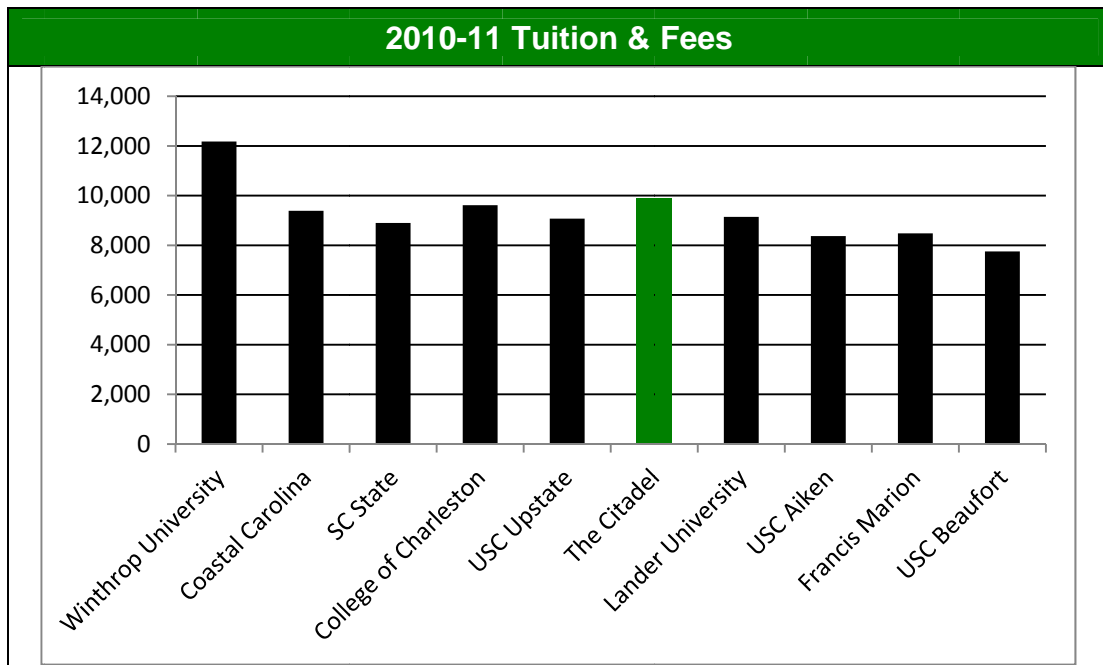


Figure 7.3.1 * Sector Average is \$9,278

State Appropriations and S.C. Undergraduate Enrollment: USC Upstate has experienced a large decrease in state appropriations in the last several years; per student dollars have decreased significantly. As demonstrated in the chart below, South Carolina students attending USC Upstate are funded significantly lower than South Carolina students attending other S.C. Teaching Institutions. The state’s decision to fund USC Upstate at a lower level adversely impacts the cost of tuition.

Average Appropriations per SC Resident FTE for Graduate and Undergraduate Programs Teaching Institutions (Using Fall 2009 Enrollment and 2009-10 Appropriations)

Institution	2009-10 Appropriation	Total HC	SC Resident HC	SC Resident %	Full-time Students	Part-time Students	SC Resident Full-time Students	SC Resident Part-time Students	SC Resident FTE	SC Resident Appropriation Per FTE	Funding Difference from Average
Avg. SC Teaching Institutions	122,523,705	51,401	38,683	75%	41,956	9,445	31,510	7,173	33,901	3,614	
USC Upstate	10,138,616	5,403	5050	93.50%	4,162	1,241	3,890	1,160	4,277	2371	-5,318,064

Figure 7.3.2

Summary of General Operating Expenditures by Program: USC Upstate continues to invest the majority of expenditures into instruction and academic support in an effort to enrich the quality of the academic experience for all students. The additional dollars expended, from \$16M - 2001 to \$26 M - 2010, have gone primarily to the hiring of new faculty and the addition of academic support initiatives targeting improvements in student success.

Program	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11	
Instruction/Academic Support	60.2%	59.5%	58.8%	58.35%	56.91%	58.04%	\$26,767,746	60.21%
Research/Public Service	0.3%	0.5%	.9%	.94%	0.67%	0.54%	247,174	0.56%
Student Services	8.9%	9.6%	6.6%	6.52%	6.83%	6.85%	2,993,531	6.73%
Institutional Support	12.8%	13.1%	15.1%	14.72%	14.11%	15.20%	7,016,573	15.78%
Facilities Management	14.3%	13.9%	15.3%	15.78%	17.66%	15.33%	5,627,407	12.66%
Scholarships	3.5%	3.5%	3.4%	3.69%	3.83%	4.04%	1,806,997	4.06%
Total Expenditures	100.0%	100.0%	100%	100%	100.00%	100.00%	44,459,428	100.00%

Figure 7.3.3

Space Utilization and CIB Funding: Educational space and the utilization of this space are important facilities measures that have direct impact on the University's ability to provide academic programs. As noted in the chart below, USC Upstate is very efficient and effective in the utilization of space.

Comparison of Classroom Utilization, E & G Space and CIB Funding SC Teaching Universities (2010)

Institution	CIB Funding	CIB Funding per FTE	E & G Sq. Ft.	E & G Space per FTE	Classroom Utilization (Avg. Weekly Hrs)
College of Charleston	85,672,000	8,395	2,105,881	206	8.41
Citadel	55,445,525	16,951	779,130	238	15.45
Winthrop	52,562,250	10,048	1,665,737	318	29.97
South Carolina State	51,142,500	12,792	1,022,310	256	18.75
Lander	50,904,579	17,854	604,121	212	24.22
Coastal Carolina	42,309,500	5,096	995,801	120	41.87
USC Aiken	38,567,000	13,605	696,552	246	31.17
Francis Marion	37,308,950	10,483	725,986	204	14.82
USC Upstate	29,671,500	5,999	700,547	142	23.20

USC Beaufort	9,077,600	5,979	234,833	155	16.44
Total	452,661,404	9,689	9,530,898	204	24.34

Table 7.3.4

Grants History: USC Upstate is working with faculty to grow grant application submissions; however, we are limited in some respects because we must request approval through USC to approach national foundations. USC will not allow more than one proposal at a time from the USC system.

USC Upstate Grants History						
Year	DOLLARS			NUMBERS		Indirect Generated
	Awards	Expenditures	Submissions	Awards	Submissions	
2005	\$ 1,468,095	\$ 2,948,205	\$ 3,425,862	34	25	\$ 19,579
2006	\$ 3,097,597	\$ 4,291,879	\$ 1,429,781	40	24	\$ 30,938
2007	\$ 1,039,052	\$ 2,997,171	\$ 2,964,418	31	28	\$ 53,861
2008	\$ 2,494,057	\$ 1,424,596	\$1,718,030	31	25	\$ 36,640
2009	\$ 1,878,198	\$ 2,243,741	\$ 3,142,054	28	41	\$ 112,007
2010*	\$ 2,823,424	\$ 3,577,495	\$ 5,178,032	37	53	\$ 58,416
2011	\$ 2,683,372	\$ 2,827,337	\$ 1,273,476	37	18	\$ 123,839
* through 5/15/10						

Figure 7.3.5

4 What are your performance levels and trends for your key measures of workforce engagement, workforce satisfaction, the development of your workforce, including leaders, workforce retention, workforce climate including workplace health, safety, and security?

USC Upstate faculty and staff results are displayed below in a variety of charts and graphs representing key performance indicators for work system performance, faculty/staff learning and development, well-being, satisfaction and dissatisfaction.

Faculty/Staff Satisfaction: Modifications were made to the faculty, staff and administrator survey in 2008 so there is no comparative data and in 2009 we chose to participate in the *Great Colleges to Work For* survey to gain access to benchmark data; results below. In 2011, the USC Upstate faculty/staff in-house survey will be administered again.

2008 Faculty, Staff, Administrator Survey	Pct. Agree or Strongly Agree
Overall Satisfaction	
I am proud to work for USC Upstate	89.4
I enjoy working at USC Upstate	85.1
We work well together in my department	83.0
I know what is expected of me in my work	91.9
Engagement	
In the last year, I have had opportunities at work to learn and grow.	82.3
I have been involved in discussions about our departments performance and plans	69.3
My supervisor/dean or chair listens to my suggestions	80.2

2009 Great Colleges to Work For Survey	Pct. Agree or Strongly Agree	
	USC Upstate	Carnegie: Bac
Job satisfaction/Support	73	76
Career development, Research & Scholarship	71	74
Supervisor/Department Chair Relationship	74	74

Table 7.4.1

Training and Development: Administrative training and professional development is handled by USC Upstate and USC Columbia since many of the administrative functions and new systems are developed collaboratively. Additional training of faculty is completed for the use of technology in the classroom and teaching on-line. 83.2% of employees that participated in the Faculty, Staff and Administrator Survey indicated that they had opportunities at work to learn and grow in the past year. In a 2008 survey, 89.8% of employees that responded indicated that their supervisors support them attending seminars, workshops and training that are offered on campus. 82% indicate that in the last year, they have had opportunities at work to learn and grow.

Training & Professional Development Seminars								
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Administrative	174	267	149	274	344	137	270	266
Computer	26	8	31	37	37	10	15	0
OSHA	82	111	62	192	238	92	5813	5882
Personal Development	83	35	73	67	150	10	0	91
Professional Training	130	302	78	130	101	78	105	182
Policies Training								34

Information Technology Services Training								
	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Computer (various software and programs)	322	150	150	150		400	250	88
Instructional Technology	60	50	100	100		143	11	176
On-line Course Development	15	24	12	12		25	29	125
Innovative Technology Uses(wiki, blog)						32	38	20

Table 7.4.2

Minority Faculty: USC Upstate strives to cultivate a faculty that is balanced in both ethnicity and gender. Figure 7.4.4 demonstrates an on-going commitment to diversity among faculty. USC Upstate also has greater than fifty percent of full-time faculty who are female.

Percentage of Teaching Faculty who are Minority										
Year	The Citadel	Coastal Carolina	College of Charleston	Francis Marion	Lander	SC State	USC Aiken	USC Beaufort	USC Upstate	Winthrop
2006	9.20%	7.10%	9.10%	6.90%	8.00%	78.80%	11.60%	10.10%	11.70%	11.00%
2007	8.40%	7.80%	9.80%	5.60%	9.00%	79.80%	10.60%	9.70%	12.10%	11.20%
2008	9.5%	10.2%	11.7%	9.0%	6.4%	75.1%	7.8%	8.0%	8.9%	11.0%
2009	10.9%	8.4%	9.0%	9.2%	6.2%	78.3%	10.9%	8.8%	12.7%	10.4%
2010	11.1%	9.2%	10.2%	8.0%	7.3%	77.8%	12.6%	9.2%	13.5%	10.4%

Table 7.4.4

Faculty Credentials: Recruiting full-time faculty with appropriate credentials is becoming increasingly difficult because of budget restrictions and supply/demand.

Percentage of Full Time Faculty with Terminal Degrees										
	The Citadel	Coastal Carolina	College of Charleston	Francis Marion	Lander	SC State	USC Aiken	USC Beaufort	USC Upstate	Winthrop
2005	94.10%	89.90%	88.70%	87.70%	85.40%	95.70%	93.50%	87.50%	96.60%	92.40%
2006	95.00%	94.20%	86.10%	86.20%	85.70%	95.50%	84.00%	82.80%	88.68%	88.90%
2007	92.20%	94.20%	88.70%	87.10%	86.20%	95.80%	76.90%	63.60%	65.10%	89.90%
2008	92.49%	88.05%	94.01%	88.76%	86.46%	94.71%	76.47%	65.71%	65.65%	80.48%
2009	94.77%	90.73%	94.64%	87.29%	83.87%	89.12%	73.47%	57.50%	61.11%	81.00%
2010	95.83%	97.28%	94.88%	90.00%	93.20%	95.53%	94.95%	71.79%	88.19%	93.36%

Table 7.4.5

Work Related Injuries and Illnesses: USC Upstate has experienced an increase in the number of reported work related injury cases and there have been an increase in total days away from work resulting from a work related injury. OSHA training for employees is being completed annually with emphasis being placed on safety procedures for areas where employees have been injured in the past. The Office of Risk Management is working with all supervisors to reduce the exposure rate for injuries and to complete a campus risk assessment that will allow more proactive management of risks.

Work Related Injuries and Illnesses							
	2005	2006	2007	2008	2009	2010	2011
Total number of cases with days away from work	5	1	2	1	0	2	2 YTD
Total number of cases with job transfer or restriction	1	5	2	1	7	6	1 YTD
Total Number of other recordable cases	0	4	4	0	0	5	2 YTD
Total number of days away from work	15	0	3	6	0	84	6 YTD
Total number of days of job transfer or restriction	41	185	13	7	52	144	14 YTD

Table 7.4.6

EEO Incidents and Complaints: The EEO Office at USC Upstate is very proactive in educating faculty and staff on the federal and state laws surrounding EEO issues in addition to the USC Upstate policies.

EEO Complaints												
	2005-06		2006-07		2007-08		2008-09		2009-10		2010-11	
	Formal	Informal	Formal	Informal	Formal	Informal	Formal	Informal	Formal	Informal	Formal	Informal
TOTAL	0	2	2	0	0	0	1	2	2	2	0	0

Figure 7.4.7

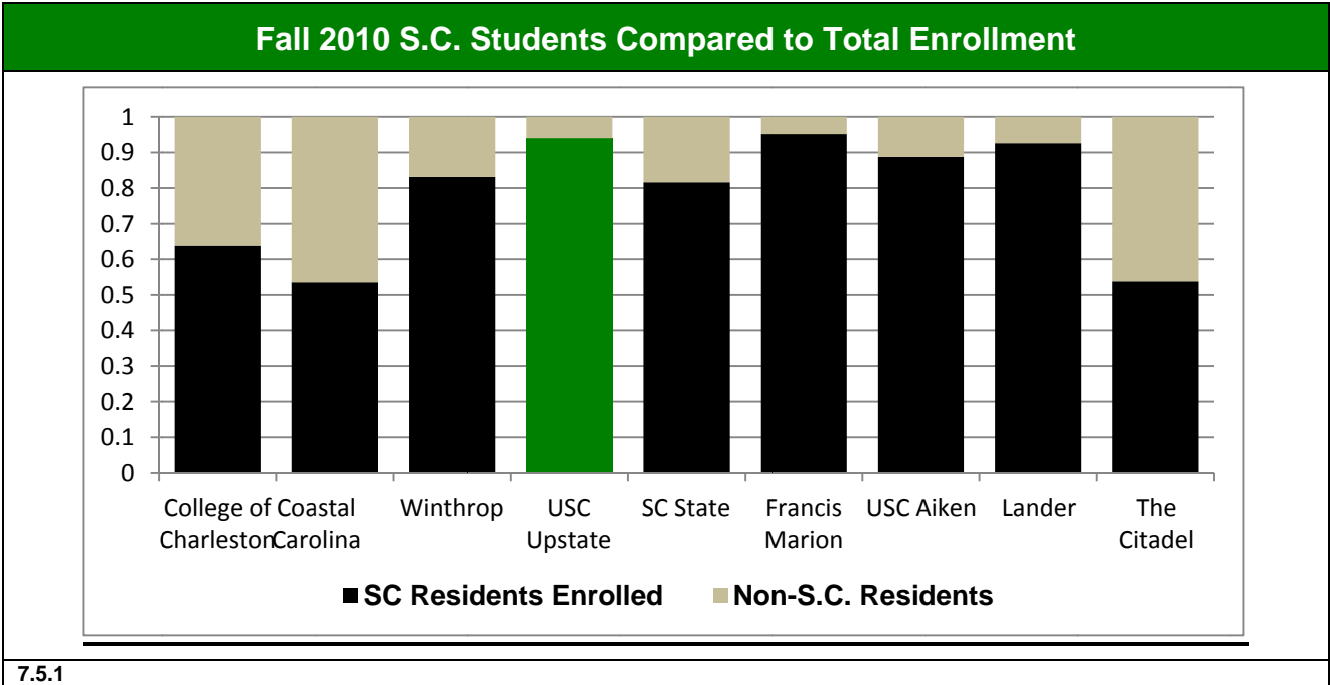
5 What are your performance levels and trends for your key measures of organizational effectiveness/operational efficiency, work system performance (these could include measures related to the following: student performance and development; the education climate; responsiveness to student and stakeholder needs; supplier and partner performance; and cycle time).

Freshmen to Sophomore Retention Rates: Freshmen to sophomore retention rates have been inconsistent since 2000. A student success team was established in 2004 to study this issue and to implement plans and initiatives specifically targeting improvement of freshmen to sophomore success. In fall 2006, USC Upstate participated in the Foundations of Excellence program, a

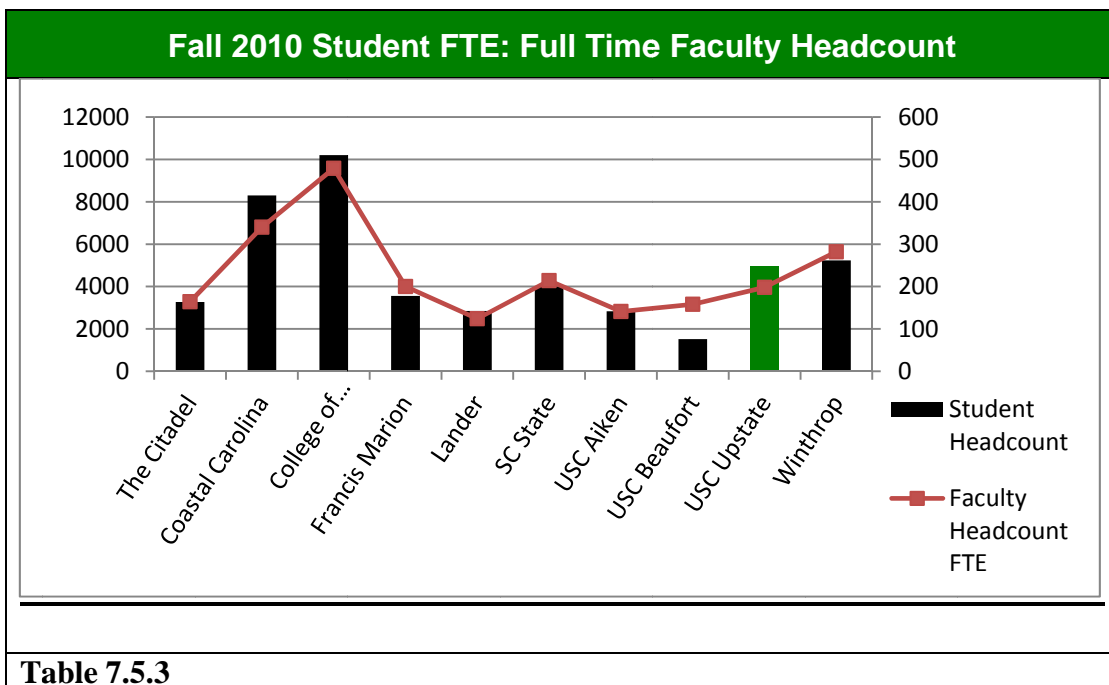
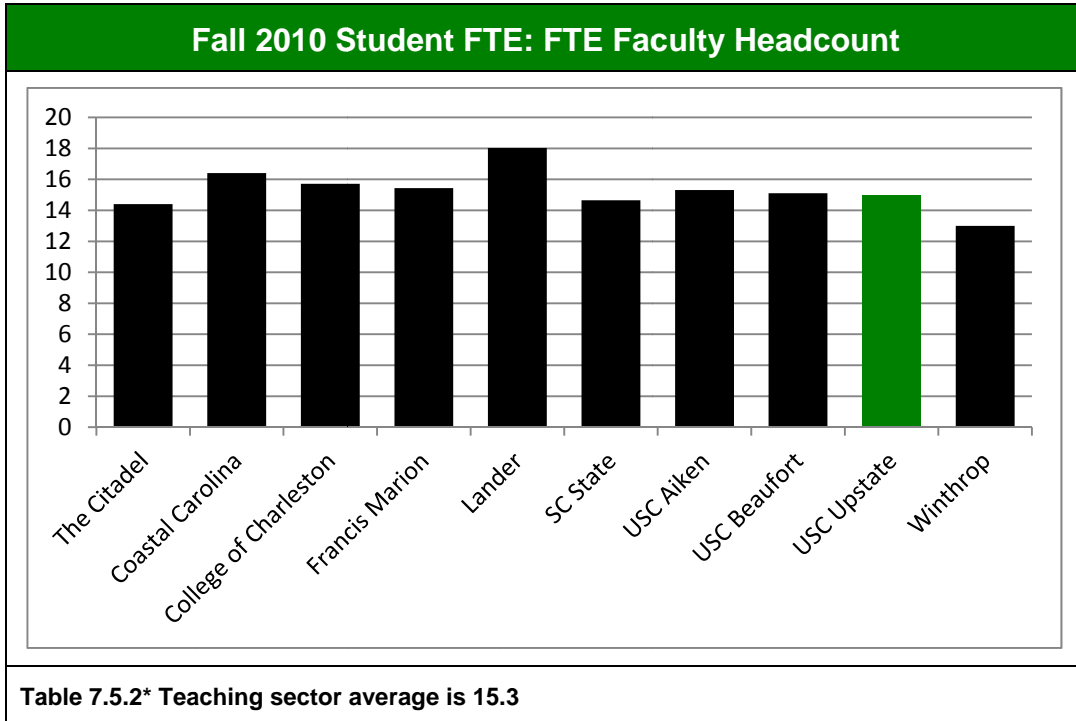
comprehensive, guided self-study and improvement process that enhance an institution’s ability to realize its goals for student learning, success, and persistence. An outcome of participating in the FoE program was a recommendation to hire an Assistant VC for Student Success to help bring all initiatives under one umbrella with the ultimate result being improved initiatives, better coordination of initiatives, and centralized monitoring of progress.

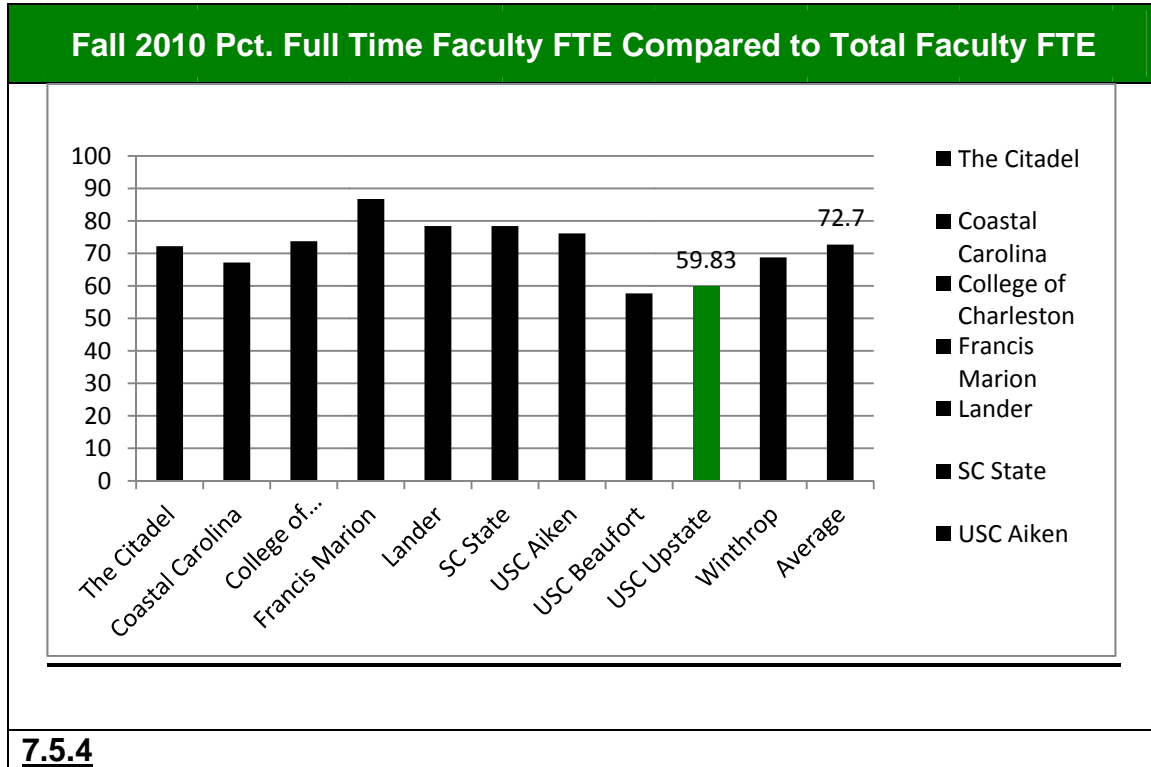
Educating S.C. Students

The stated mission of USC Upstate is to provide a quality post-secondary education to South Carolina students. See the data below that signifies that the majority of the resources and efforts expended by USC Upstate is to educate S.C. citizens.



Ratio FTE Student/Full Time Faculty Headcount: Full-time faculty staffing at USC Upstate has been impacted tremendously by both funding and allocation of slots from the state. Note in the chart below that USC Upstate ranks 9th out of 10 in the number of student FTE's per full-time faculty. This lack of full-time faculty impacts class size, number of adjuncts teaching courses, advising loads, time faculty have per student outside the classroom, etc.





Smart Classrooms: Information Technology Services is working with Academic Affairs to create a plan for improving teaching technology in the classrooms targeting instruction. Currently, around 80% of classrooms primarily used for instruction have been enhanced with technology aimed at improving the teaching/learning environment. The chart below demonstrates the commitment to continued improvements of technology in the classroom.

6 What are your performance levels for your key measures related to leadership and social responsibility: a.) accomplishment of your organizational strategy and action plans b.) stakeholder trust in your senior leaders and the governance of your organization c.) fiscal accountability; and, regulatory, safety, accreditation, and legal compliance d) organizational citizenship in support of your key communities?

a) The realization and near completion of the USC Upstate ten year master plan and tremendous enrollment growth over the past ten years demonstrates the accomplishments of the organizational strategy and action plans. USC Upstate will be applying for the Community Engagement Classification with Carnegie to demonstrate the accomplishment of mission as a Metropolitan University.

b) Stakeholder trust in senior leaders is demonstrated regularly in a variety of ways: accreditation of the institution by SACS, (Southern Association of Colleges and Schools) which is the regional accrediting body for USC Upstate; USC Upstate has had no sanctions from the accrediting agency. Several academic programs have earned program accreditations, including the National Council for the Accreditation of Teacher Education (NCATE), The Association to Advance Collegiate Schools of Business (AACSB), Computer Science is accredited by the Accreditation Board for Engineering

and Technology (ABET) and the School of Nursing is in the final stages of the accrediting process with Commission on Collegiate Nursing Education (CCNE).

Also, USC Upstate Chancellor John Stockwell has also been recognized for his individual and organizational contributions over the past several years and many USC Upstate leaders are being invited to participate on major advisory boards and projects in the community. The private/public partnership with the city on the George Dean Johnson College of Business and Economics also demonstrates the trust and support of the community leaders.

c) As a state agency, the USC System is audited annually and the University has had no major findings. A measure of responsible leadership and accounting management is the lack of audit findings in that report. In addition, internal audits are done for USC Upstate within the USC System audits and specifically for Upstate campus operations.

Accounting and business practices are handled according to state and University policies, procedures and regulations. The campus leadership is responsible, in coordination with specific processing service areas, to insure compliance.

Insuring campus safety is a major tactic in the University's strategic plan. All units, especially high risk areas, receive safety training annually. The Office of Risk Management, along with the USC Office of Health and Safety, and USC Upstate Police coordinate all safety and security measures with unit managers.

The Office of Legal Affairs in Columbia is responsible for legal issues and reviews all contracts for the University. USC Upstate coordinates this work with that office on a regular or as needed basis. Campus training has been conducted by Legal Affairs to assist units in proper procedures and actions.

In all areas, there is an organizational structure of units with responsible leadership to insure financial, regulatory, safety and legal items any and issues are managed by addressing situations addressed appropriately.

d) Demonstrations of our organizational citizenship include:

- the Health Education Center is certified LEED Silver and the new Johnson College of Business is certified LEED
- the campus is tobacco free
- partnering with USC in the American College & University's Presidents Climate Commitment and appointing a task force on campus sustainability to encourage improvements in recycling efforts, conservation of energy, etc.
- the opening of the campus wellness center and associated programming targeting improvements in the health and welfare of our faculty, staff and students.
- Partnering to create the Rotary Peace Park